CME Group

Exchange Fee System (EFS) User Manual

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Global Operations Education

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Exchange Fee System

1. Exchange Fee System (EFS)

The Exchange Fee System (EFS) is a browser-based application that enables clearing firm fee administrators to:

- Search, view and edit transactions;
- Maintain account and electronic Trader ID information; and
- Execute reports to confirm and reconcile transaction fees charged.

1.1 Security Requirements

To request access to the Exchange Fee System, fax a completed System Access Request Form to the CME Group Customer Support Group at (312) 338-2626. (Form is available at http://www.cmegroup.com/clearing/files/onlineaccess.pdf.) Please allow 24-48 hours for processing.

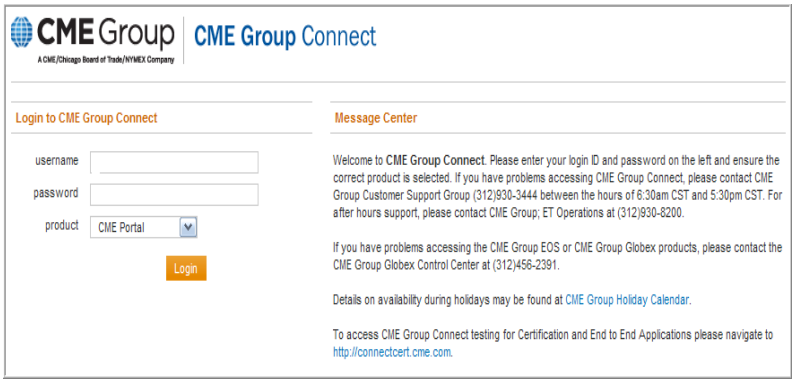
1.2 Accessing EFS

To access the EFS application, users must first log on to CME Group Connect by entering the following address in the internet browser: http://connect.cme.com.

1. Enter your CME Group Connect **Username** and **Password**, and then click **Login**. Note: The product selection should be set to *CME Portal*.

   Note: If the user does not have the Username and Password information, please refer to the Message Center.

   Upon successful login, the user will be directed to the CME Applications menu.

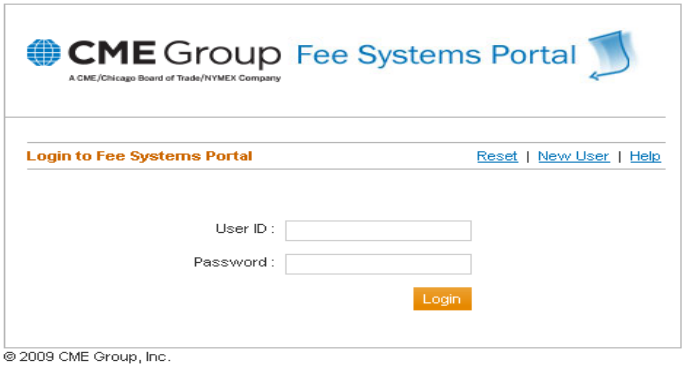


2. Select the Exchange Fee System icon

Exchange Fee System Icon

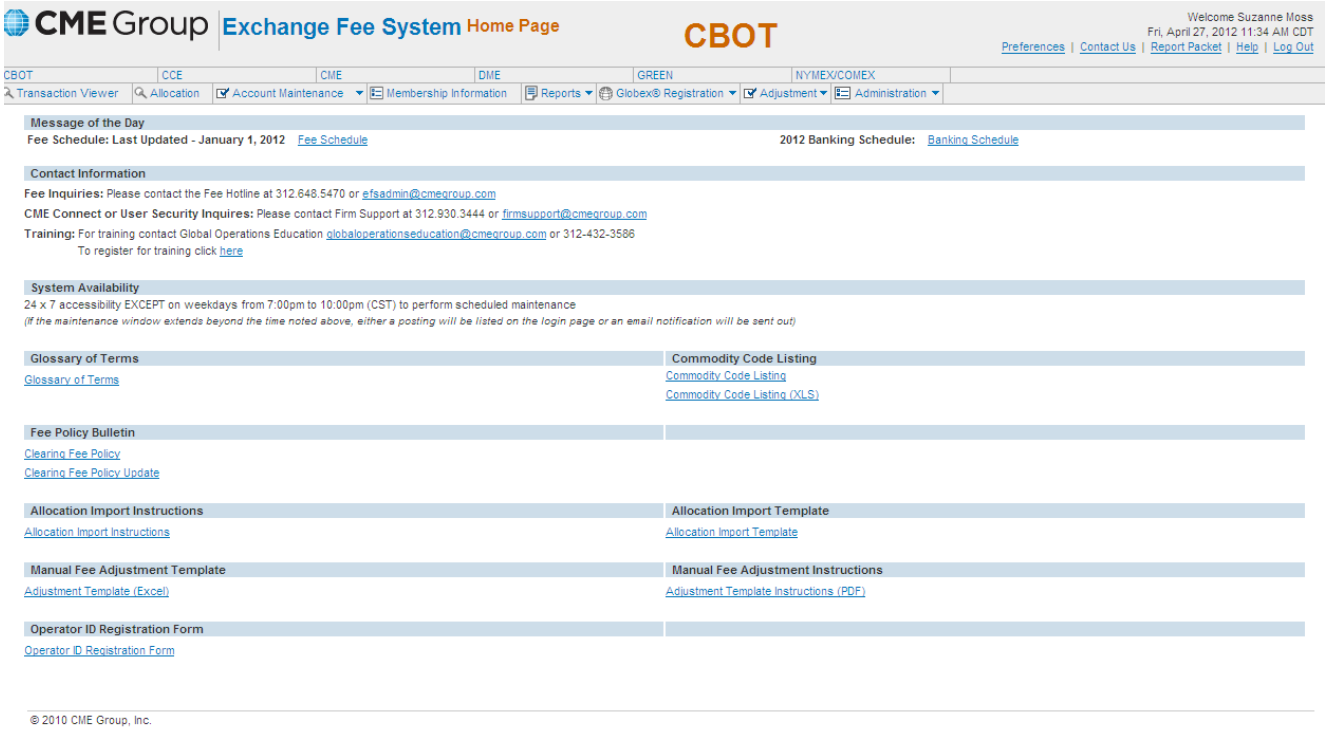
Note: If the user does not have access to CME Group Connect or the Fee Systems Portal, please contact CME Group Firm Support at 312.930.3444 between the hours of 6:30am CST and 5:30pm CST.

3. Log into the Exchange Fee System using your CME Group Connect portal User ID and Password.



2. EFS Homepage

Once successfully logged in to the application, the EFS Homepage will appear.



Note the following EFS features:

- **Multi-Exchange Accessible –** Firms will be able to access CBOT, CCE, CME, DME, GREEN, and/or NYMEX/COMEX based on the user's security access.
- **Homepage Information** – The CME Group fee team utilizes this screen to communicate important messages to the Users. Information on this page is subject to change, but will display such items as the Fee Schedule, Banking Schedule, Contact Information, System Availability, Commodity Code Listing, Glossary of Terms, etc.
- **Help** – click on the **Help** link on the top right corner of the page (on any EFS screen) to be directed to the EFS User Manual. If further help is needed, please call the EFS Hotline at 312-648-5470 or email EFSAdmin@cmegroup.com.

The Exchange Fee System offers 24x7 accessibility except on weekdays from 7:00 to 10:00 p.m. (CST) to perform scheduled maintenance. If the maintenance window extends beyond this time, a message will be listed on the home page.

Navigation within EFS is driven by the top menu bar. The user first selects the appropriate Exchange, and then within that Exchange, selects the appropriate function to be performed.

The EFS homepage also includes a link to the CME Group website. Select the **CME Group** logo in the top left corner to be redirected to the CME Group website (www.cmegroup.com).

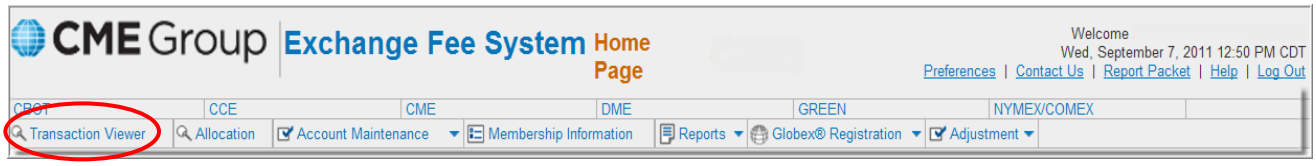
Select the **Exchange Fee System** logo at the top of any page to be redirected to the homepage of that Exchange.

3. Transaction Viewer

The **Transaction Viewer** screen offers both basic and advanced search options to View Trades, Edit Trades, Edit Trader ID, and View Non-Trades (Exercises, Assignments, Deliveries, Expired Options, Cash Settlements and Futures from Exercise and Assignment).

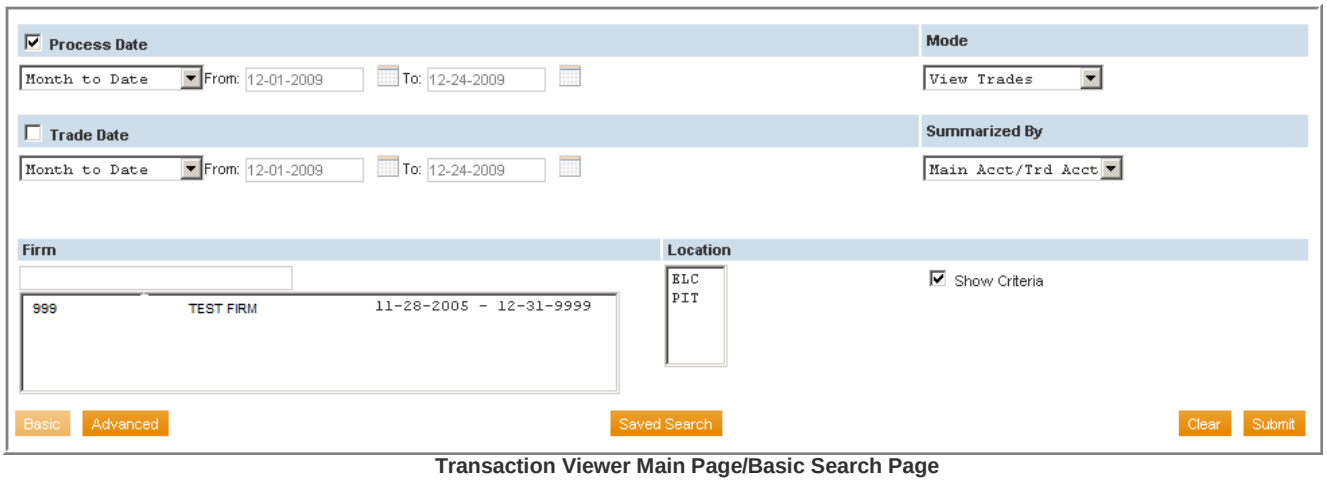
3.1 Accessing Transaction Viewer

To access **Transaction Viewer** select the option from the navigation menu.



3.2 Performing a Basic Search for Trades

When the Transaction Viewer link is chosen from the EFS Homepage, the Transaction Viewer's basic search page appears.



Transaction Viewer Main Page/Basic Search Page

NOTE: **Refer to section 3.2.7 Saved Search for more information about this function.**

A **Basic Search** consists of:

- Selecting a check box for **Process Date** and/or **Trade Date** identifying the date search criteria.
- Selecting the **Mode** identifying the action to be taken.
- Selecting the criteria by which the results should be organized in the **Summarized By** field.
- Selecting a **Firm**.
- Selecting the **Location** of the transaction, if applicable.
- Clicking the **Show Criteria** box to view the search criteria on the results page.
- Once the search criteria are defined, select the **Submit** button to execute the search and retrieve the data. The User will receive a message indicating that the search is in progress.

Two fields are **required** in order to complete a basic search: **Date** and **Firm.** If one or more of these fields are left blank, an error message will appear. For the best search results, all fields should be completed, however, if not modified, the default fields will be used for the Date, Mode, and Summarized By selections. The **Location** field will default to both Pit and Electronic if left blank.

NOTE: **Refer to section Errors in Selecting Search Criteria for more information about Error Messages.**

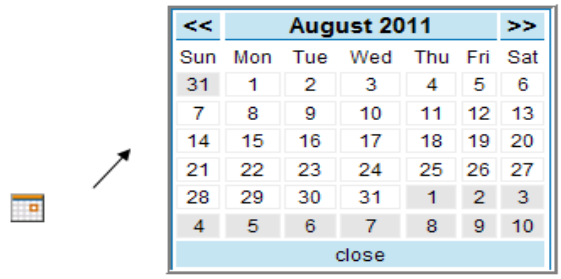
3.2.1 Date Selection

A date selection is required to execute a search. Limit the search using Process Date and/or Trade Date by checking the box in front of one or both of these date selections.

A. Transaction Viewer Date Selection Descriptions

SELECTION	DESCRIPTION
Month to Date	Month to Date automatically sets the beginning date to the first day of the current month and the end date to the prior trading day. ***NOTE:*** *Dates cannot be changed while in the Month-To-Date mode.*
Equals	Equals specifies only one day. The system default displays the prior trading day.
Between	Between specifies the beginning and end dates for a date range. ***NOTE:*** *With a "Between" search criteria, it is only possible to view a maximum of one calendar month at a time.*
Last Month	Last Month defaults the beginning and end dates to the first and last days of the previous month.
Two Months Ago	Two Months Ago defaults the beginning and end dates to two months prior to the current month.
Three Months Ago	Three Months Ago defaults the beginning and end dates to three months prior to the current month. ***NOTE:*** *Data viewed Three Months Ago is outside of the open adjustment period and therefore cannot be edited.*

*When using the **Between** and **Equals** selections, specific dates must be entered either by clicking in the date fields and entering the date in the MM-DD-YYYY format, or by choosing a date using the calendar to the right of the date field. Click on the calendar icon for the calendar window.*



3.2.2 Mode Selection

Select the Mode using the drop-down menu.

- **View Trades** allows the User to view all transactions as read-only.
- **Edit Trades** allows the User to view and submit trades for recalculation, or to change trading accounts.
- **Edit Trader ID** allows the User to view transactions by a specific trader and change the Trader ID for both pit and electronic trades. ***NOTE:*** With this mode the user can only summarize the data by Trader ID or by Trader ID/Trade Account.
- **View Non-Trades** allows the User to view all non-trade activity such as Exercises, Assignments, Deliveries, Expirations, Cash Settlements and Futures from Exercise/Assignment.

3.2.3 Summarized By Selection

Select how to sort the data by choosing an option from the Summarized By drop-down menu.

- **Main Account/Trade Account** summarizes data by Main Account and then by Trading Account.
- **Trading Account** summarizes data by Trading Account.
- **Trader ID/Trading Account** summarizes data by Trader ID and then by Trading Account.
- **Product** summarizes data by commodity code.
- **Trader ID** summarizes data by Trader ID (broker symbol for pit and operator ID for electronic).

3.2.4 Firm Selection

The firm list displays all of the firms the User is authorized to view.

- To select a firm, click on a firm (the firm will then be highlighted).
- To select multiple firms, hold down the **CTRL** key on the keyboard and click to highlight all desired firms. (Note: a maximum of five firms may be selected at one time).
- To deselect a firm, hold down the CTRL key on the keyboard and click to highlight all desired firms.

3.2.5 Location

Select the location where the transaction took place:

- **ELC** is for electronic trades/transactions.
- **PIT** is for any transaction that took place on the floor/open outcry.
- No selection defaults to both locations.

3.2.6 Show Criteria

The default setting is for the **Show Criteria** box to be checked.

- This displays a summary of all of the search criteria above the search results.
- Uncheck the Show Criteria box to display the results only.

3.2.7 Saved Search and Saved Search Groups

The **Saved Search** function provides the ability to save and load frequently used Transaction Viewer and Report search parameters. Saved Search also has an administrative function '*Saved Search Groups'* which allows users to make common searches available to other users within the same clearing firm, upon request.

- To create a predefined search click Saved Search and the My Criteria screen will display.
- Enter a name for the search criteria and click Save.

- To use the saved criteria, highlight the search name and click the action Load, then click Submit.
- The User will be redirected back to the primary screen with the search criteria loaded, the User has the opportunity to make any updates and then click Submit to retrieve the search results.

3.3 Performing an Advanced Search

In order to perform a more specific search, choose an **Advanced Search** by selecting the **Advanced** button at the bottom left of the search screen. The basic search selections will remain at the top of the page and must be completed as noted above, and the advanced fields will appear below. Refer to Appendix I – Basic Search Screen or Appendix II – Advanced Search Screen for detailed field definitions.

3.3.1 Transaction Viewer Advanced Search Field Descriptions

FIELD NAME	DESCRIPTION
Quadrant **Product Venue (NYMEX)**	It is not mandatory to choose a selection from the Quadrant or Product Venue fields. The default setting will search **all** quadrants or product venues. It is possible to narrow a search to a single quadrant or product venue, however, by clicking on the specific quadrant or product venue in the list to highlight it. ***NOTE:*** *Any time a specific quadrant or product venue is chosen, the Product list will automatically update to reflect only the products available within that quadrant or product venue. To narrow the search to a particular product, select the desired products identified in the Product field for the chosen quadrant/venue.*

Product	It is not mandatory to choose a selection from the Product field. The **default** setting will search **all** Products. To narrow a search by Product, select a single product either by scrolling through the list OR type the product code in the text field above the product list. The system will automatically locate the first item in the list that matches the entry.
	• To **Add a Product** from the product list:
	  o **Highlight** the product in the list.
	  o Click the **Add** hyperlink or press the enter key.
	  o The product's code will then populate in the box to the right of the product list.
	• To **Select multiple products:**
	  o Repeat the steps above for each product;
	  OR hold down the **CTRL** key on the keyboard.
	  o Click each product to **highlight** it.
	  o Click the **Add** hyperlink to add all of the products at once.
	• To **Delete a product** from the search list:
	  o Click and **highlight** that product code in the list box.
	  o Click the **Delete** hyperlink.
	• To **Delete multiple products** from the search list:
	  o Click and **highlight** more than one product code in the list box.
	  o Click the **Delete** hyperlink.

F/O	Choose to search for either a Future or an Option to narrow the search.
Currency	Choose to select a specific currency.
Venue (NYMEX/DME/GREEN)	This field allows the User to search by a specific Venue.
Main Account	This field specifies the grouping account.

Trading Account	This field identifies a specific trading account or sub account of the Main Account indicated in the previous field, or can be used alone to search for a specific trading account where the main account is unknown.
Broker	This field allows the User to search for a trade transacted by a specific broker.
Operator ID	This field allows the User to search for a trade by the Operator ID on the trade.
Order Number	This field allows the User to search by the order number.
Transaction Type	This field specifies the type of transaction executed.
Fee Type	This field allows the User to search by the fees charged to the transaction.
Applied Fee Indicator	This field identifies the fee level that corresponds to the fee schedule.
Hours	This field identifies the trading session as Electronic Trading Hours (ETH) or Regular Trading Hours (RTH).
Fee Incentive Indicator	This field indicates the fee incentive program associated to the transaction.

3.3.2 Transaction Viewer Advanced Search Operator Descriptions

Several of the Advanced Transaction Viewer fields offer a drop-down list with operators or functions that allow the User to sort or narrow the search criteria within that field. The definitions for those operators or functions are:

OPERATOR	DESCRIPTION
Any	Allows the User to search for **all** items and is the **default selection**.
Begins With	Allows the User to enter the first few numbers and/or letters of the desired search item(s).
Contains	Allows the User to enter a string of numbers and/or letters and search for all items that contain that string.
Ends With	Allows the User to enter the last few number and/or letters of the desired search item(s).
Equals	Allows the User to enter the exact search item. “Equals” may also be used to enter multiple accounts so that it works as an “is in” option.

To Add a Search Item

1. For all selections except **Any**, type the desired search item in the text field below the drop-down menu.
2. Click the **Add** hyperlink to add that item to the search list.

NOTE: **The Add hyperlink must be selected in order for inputted text to be captured.**

To Delete a Search Item

1. Find the item to be deleted in the search list.
2. Click to highlight the item.
3. Click the **Delete** hyperlink.

3.3.3 Additional Features

- To clear **all** selected search criteria; select the **Clear** button at the bottom of the search form.

- To switch back to the Basic Search form, select the **Basic** button at the bottom of the search form.

3.4 View Trades Search Result List - Sorted by Mode

The View Trades Mode provides the User a read only view of any trade results returned from the search criteria entered. The results of all searches are initially sorted based upon the **Mode** selected in the basic search. The below explanation of search results is organized based on each of the possible mode choices: View Trades, Edit Trades, Edit Trader ID and View Non-Trades.

After being sorted by mode, a secondary sort is organized by the **Summarized By** field.

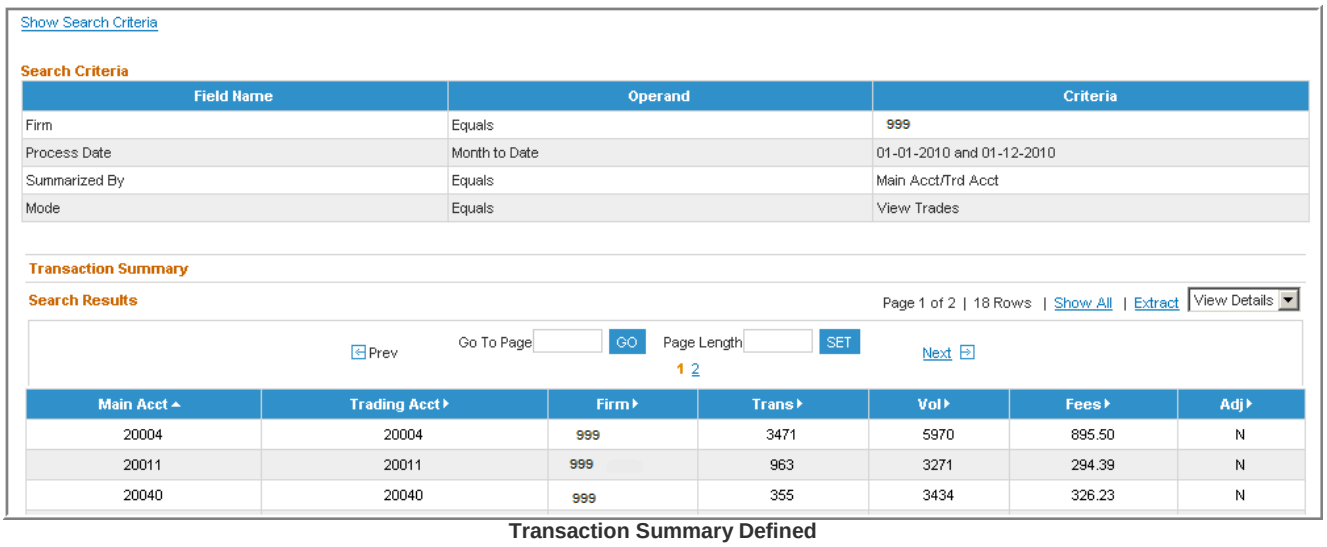
The **Main Account/Trading Account** option is the **default** selection for organizing results within the Transaction Summary view.

NOTE: **See Summarized By Selection section above for further details.**

Once sorted by Mode and then Summarized By, the data is returned in a first level view called the **Transaction Summary**, where a summary of all trades or non-trades is visible. Each returned record can then be chosen individually and displayed at the **Transaction Details** level**. Fee Details** is the third level, where basic fee information can be identified for each transaction.

A. Transaction Summary

After executing a search in the View Trades mode, the Transaction Summary screen will be displayed.

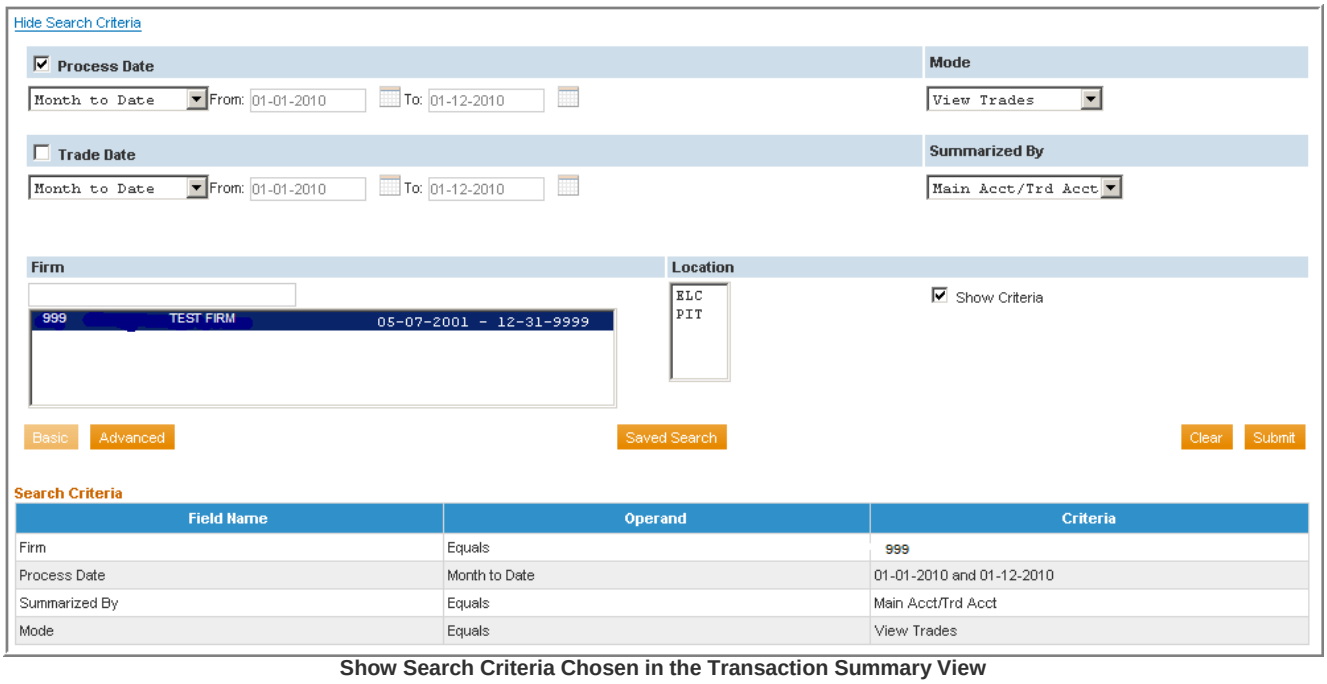


Transaction Summary Defined

- **Show Search Criteria** hyperlink will allow the user to view the search form and see the field parameters utilized to obtain the results.
- **Go to Page** allows the user to enter a page number to navigate through the results.
- **Set Page Length** allows the user to modify the number of records displayed in a single page on the screen.
- **Show All** hyperlink allows the user to view all records on one screen.
- **Extract** hyperlink converts the results into a Tab Delimited format that enables users to import into any machine readable format.

1. Viewing or Modifying Search Criteria

a. To view the search criteria form and the parameters previously selected, click on the **Show Search Criteria** hyperlink located just below the Transaction Viewer title.
b. After selecting the **Show Search Criteria** hyperlink, the screen will display the Basic or Advanced Search mode based on the previous search criteria selected.
c. To modify the search criterion simply change the input values and then select the **Submit** button.
d. Upon viewing the criterion, the **Show Search Criteria** hyperlink now displays as **Hide Search Criteria.** To hide the search form criterion, simply select the **Hide Search Criteria** hyperlink.



Show Search Criteria Chosen in the Transaction Summary View

B. Transaction Details and Fee Details

To view the **Transaction Details** and **Fee Details** for a line item displayed within the Transaction Summary screen, simply click on that line item.

As mentioned above, the fee system drills down from a general summary to the specific detail of the trade. The below image shows the general Transaction Summary followed by the Transaction Details. Select a line item within the Transaction Detail level and the Fee Details for that trade will be displayed.

Transaction Summary

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Adj
20121	20121	999	16104	33340	4934.96	N
Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Adj

Back to Summary

Transaction Detail

Main Acct	Trading Acct	Process Date	Trade Date	Firm	Tran Type Name	Product	Underlying Commodity	F/O Ind	Exec Code	CBT Bus Code	V
20121	20121	2010-01-07	2010-01-07	999	GBX TRD	AD	N/A	FUT	E		
Main Acct	Trading Acct	Process Date	Trade Date	Firm	Tran Type Name	Product	Underlying Commodity	F/O Ind	Exec Code	CBT Bus Code	V

Back to Details

Fee Detail

Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Applied Amt
CLEARING FEE	0.07	0.07	E	0.07
GLOBEX FEE	0.25	0.08	E	0.08
Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Applied Amt

New Search

Trade Details and Fee Details

1. Additional Navigation Features

- To go back to the Transaction Summary screen, select **Back to Summary** button.
- To go back to the Transaction Details screen, select **Back to Details** button.
- To start a brand new search, select the **New Search** button. Please note that selecting this button will clear all search criteria.

3.4.1 Edit Trades Mode

The **Edit Trades Mode** allows the User to view, adjust and submit transactions for recalculation. This mode also allows the User to change the trading account when a transaction has cleared with an incorrect account number. Recalculation of trades and changing of the trading account can occur at the **Transaction Summary** and **Transaction Details** levels. **Fee Details** can also be viewed from this area. Note that the User must return to the **Transaction Viewer** and choose the **Edit Trades Mode** from the mode drop down menu, in order to execute these edit processes.

NOTE: **1. If you have executed a change to an account within the Account Maintenance screen during the current business day, the system will automatically submit those transactions for recalculation during the open adjustment period. Therefore, if you are unable to view trades in the edit mode, they may have already been submitted. Select "View Trades" mode in your search criteria and check for one of the following adjustment indicators in your search results:**

A = Allocation
N = No Adjustment
S = Record is split (i.e. left over quantity or unallocated quantity)
Y = Resubmit, Change Account, Change Trader ID

2. There is a Rebate Period for these changes. Trades may only be EDITED during the current month and two months prior. The User may only view trades three months prior.

3. The User will need to manually submit transactions for recalculation in the Transaction Viewer for which the User had added or modified Operator IDs in the Globex Registration Screen.

A. Transaction Summary
After executing a search in the **Edit Trades Mode**, the **Transaction Summary** screen will display.

The Edit Trades Mode defaults to View Details displayed in the top right corner of the Transaction Summary screen.

Using the Edit Trades Mode within the Transaction Summary Screen of Transaction Viewer

B. Edit Functions
The User may choose the action to be performed, whether it is to view the transactions, change the trading account number or submit transactions for recalculation.

At the **Transaction Summary** level or at the **Trade Details level**, the User may select from the drop-down list:

- **View Details**
- **Change Account**
- **Recalculate**

Following is a description of these actions:

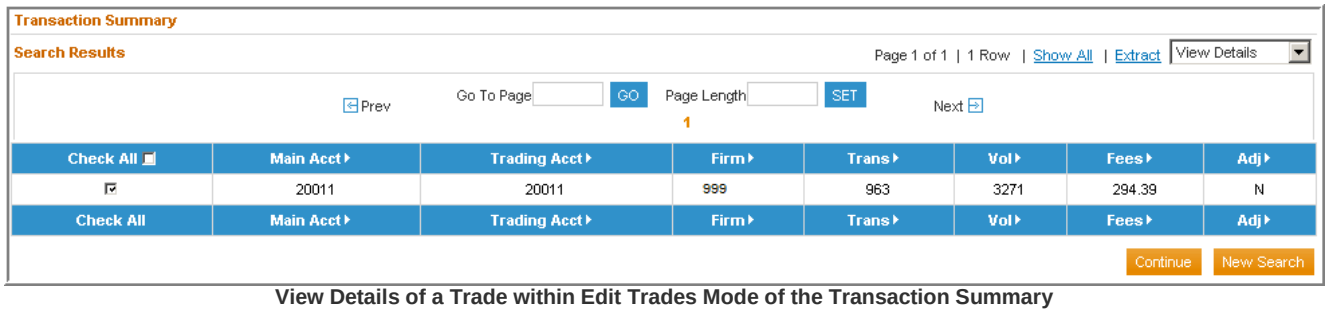
- **View Details** allows the User to select a specific line item from the Transaction Summary in order to view the Trade Details for that item (similar to the View Trades Mode). The User may also select View Details from the Trade Details level in order to view the associated Fee Details.
- **Change Account** allows the User to change the trading account number on transactions that cleared under incorrect account numbers, or to modify the account number associated to position transfer and adjustments records. An account change can be performed at the Transaction Summary level or at the Trade Details level.
- **Recalculate** allows the User to submit transactions for recalculation. Trades may be recalculated at the Transaction Summary level or at the Trade Details level.

NOTE: In order to use the Change Account and Recalculate functions at the Trade Details level, the User must select View Details at the Transaction Summary level.

1. View Details

To view the **Trade Details** for a particular item at the **Transaction Summary** level:

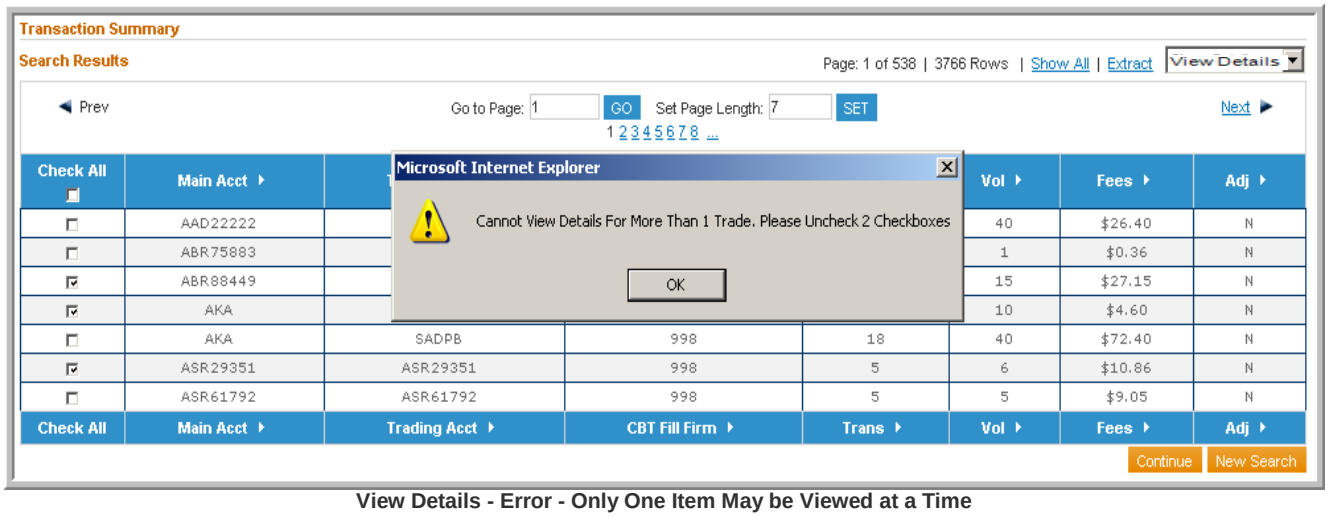
1. Select **View Details** from the drop-down list.
2. Click the check box in the row of one line item in order to view the details of that transaction.



View Details of a Trade within Edit Trades Mode of the Transaction Summary

3. After selecting the appropriate item, select the **Continue** button.

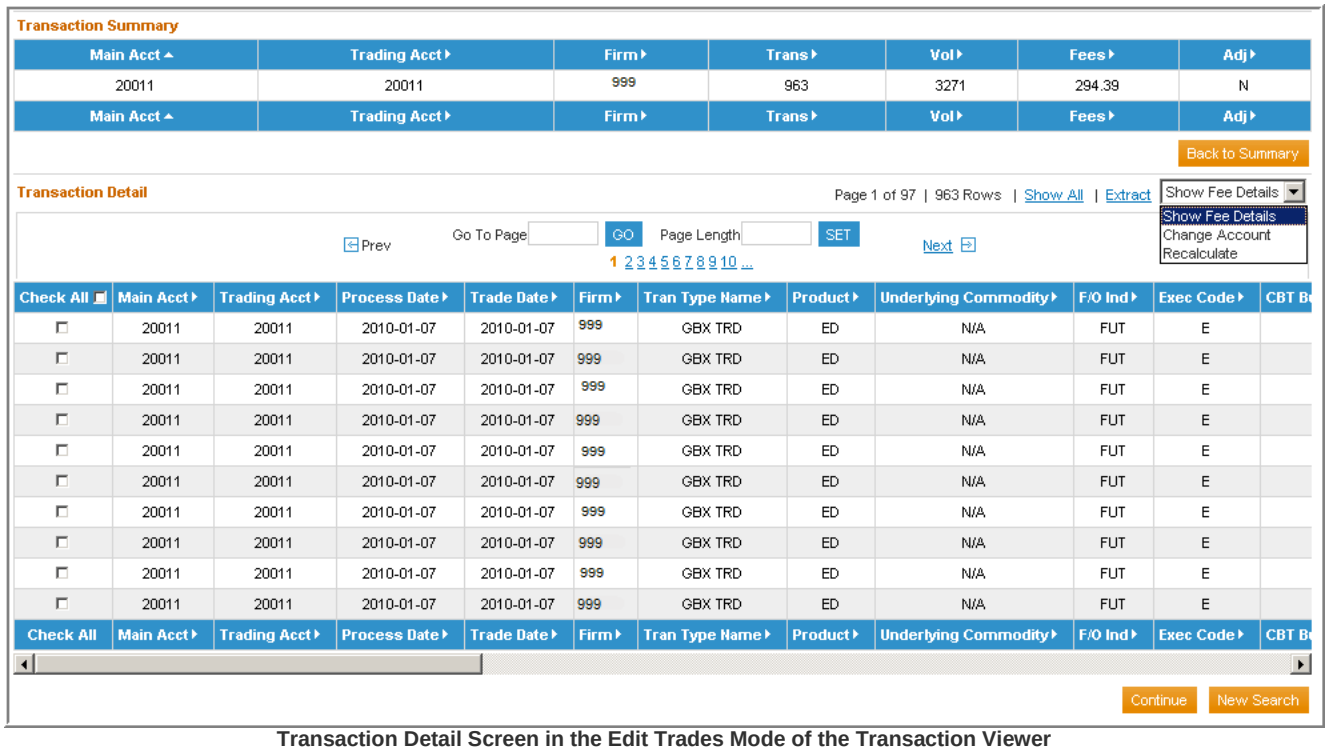
NOTE: Only one line item can be selected at a time. If more than one check box has been selected, the User will receive an error message.



View Details - Error - Only One Item May be Viewed at a Time

At the **Trade Details level**, the User may again select from the drop-down list:

- **Show Fee Details**
- **Change Account**
- **Recalculate**



Transaction Detail Screen in the Edit Trades Mode of the Transaction Viewer

Also at the Transaction Details level

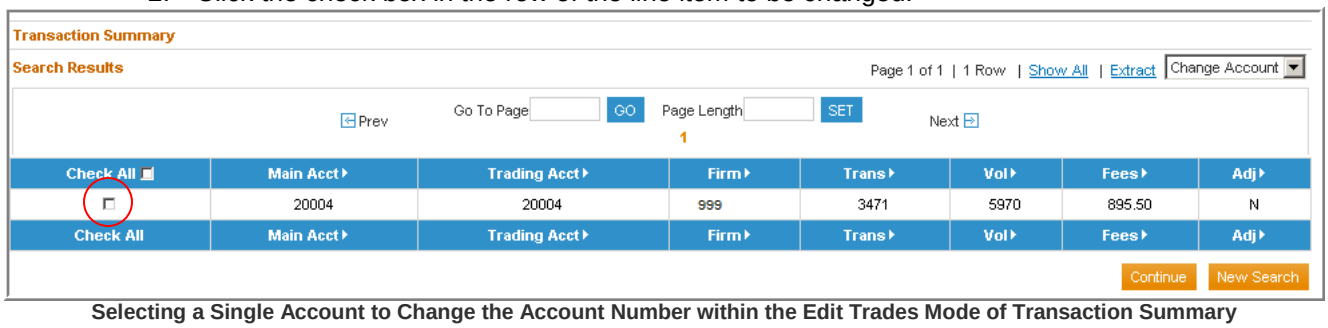
- To **Change an Account** or to **Recalculate Transactions**, follow the same steps outlined above.
- To view **Fee Details** for a particular trade, select **Show Fee Details** in the drop-down menu.

2. Change Account

Changing an account in EFS allows the user to move trades from one account to another.

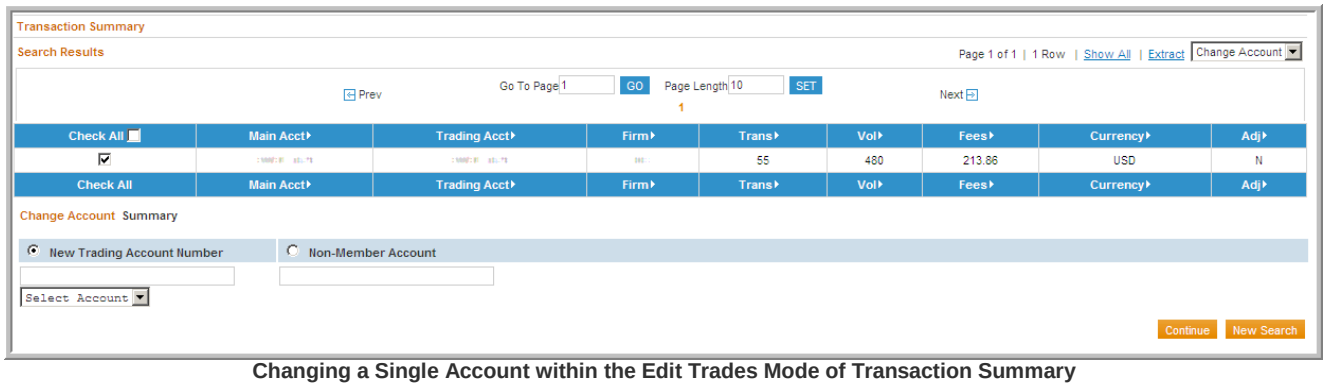
a. To Change a Single Account Number:

1. Select **Change Account** from the **Select Action** drop-down list.
2. Click the check box in the row of the line item to be changed.



Selecting a Single Account to Change the Account Number within the Edit Trades Mode of Transaction Summary

3. Select the **Continue** button.



Changing a Single Account within the Edit Trades Mode of Transaction Summary

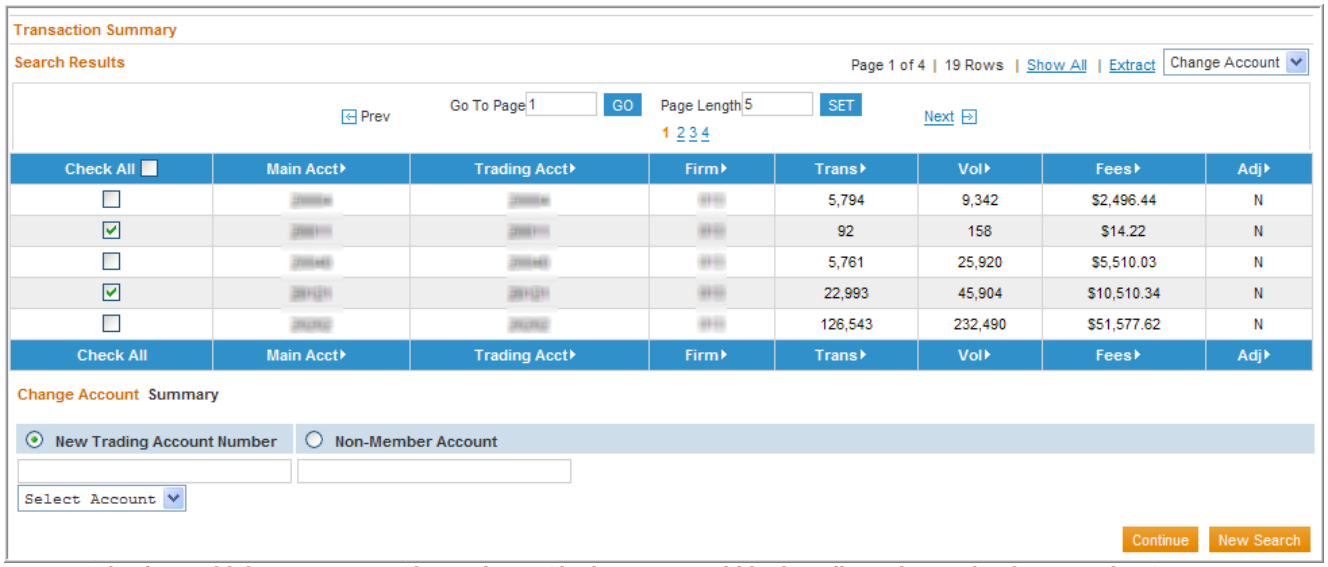
4. Locate the **New Trading Account Number** by utilizing the auto complete feature that suggests possible trading account matches as you enter text within the text box, or scroll through the drop-down box to find the account. To input an account that is not currently registered in EFS select the **Non-Member Account** radio button and enter an account number.

---

5. Select the **Continue** button.

b. To Change Multiple Accounts

1. Select **Change Account** from the drop-down list.
2. Click the check boxes in the rows of all of the accounts to be changed to a single account number.



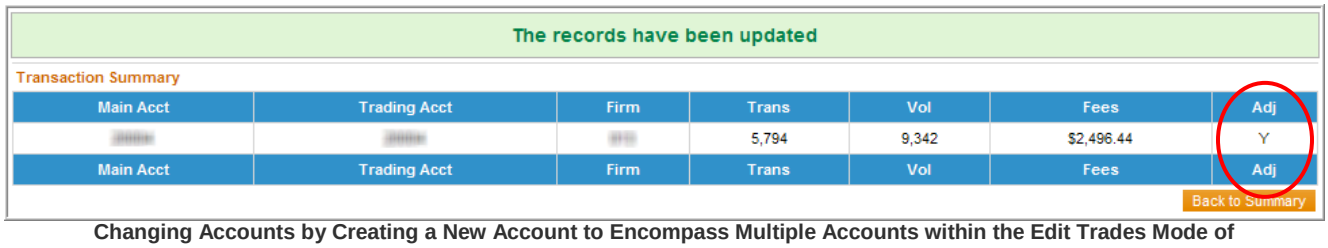
Selecting Multiple Accounts to Change into a Single Account within the Edit Trades Mode of Transaction Summary

3. To select all accounts displayed, click the **Check All** box in the column header.

NOTE: **The Check All option will only select the accounts that are displayed on the current screen. If more than one screen of data exists; select the accounts on all pages by first clicking the Show All hyperlink next to the drop-down box and then click on the Check All box.**

4. After selecting the appropriate account(s), select the **Continue** button and a Change Account section will display.
5. Locate the **New Trading Account Number** by utilizing the auto complete feature that suggests possible trading account matches as you enter text within the text box, or scroll through the drop-down box to find the account. To input an account that is not currently registered in EFS select the Non-Member Account radio button and enter an account number.
6. Select the **Continue** button.

The **Adj** column at the right will change from **N** to **Y** to indicate that this item has been submitted for reprocessing during that night's batch cycle.



Changing Accounts by Creating a New Account to Encompass Multiple Accounts within the Edit Trades Mode of Transaction Summary

3. Recalculate

In the **Edit Trades Mode** of **Transaction Viewer**, the User can recalculate a single item, or a group of items, at one time. This feature should be used to manually submit trades for recalculation when the associated operator ID has been added or modified in the Globex Registration screen.

a. To Submit an Item for Recalculation

1. Select **Recalculate** from the drop-down list.
2. Click the check box in the row of the line item that is to be recalculated.

Recalculating a Trade within Edit Trades Mode of the Transaction Summary

b(1). To Select Multiple Items for Recalculation

1. Click the check boxes in front of all line items to be submitted for recalculation.

b(2). To Select All Items on the Screen for Recalculation

1. Click the **Check All** box in the column header to highlight all the items displayed on the screen.

NOTE: The Check All option will only select the accounts that are displayed on the current screen. If more than one screen of data exists, select the accounts on all pages by first clicking the 'Show All' hyperlink next to the drop-down list and then click on the Check All box.

2. After selecting the appropriate item(s), select the **Continue** button.
3. A message window will appear asking for confirmation to recalculate the trades - click **OK** to confirm or **Cancel**.
4. If **OK** is selected, a confirmation message will be displayed stating that the request has been submitted for recalculation.

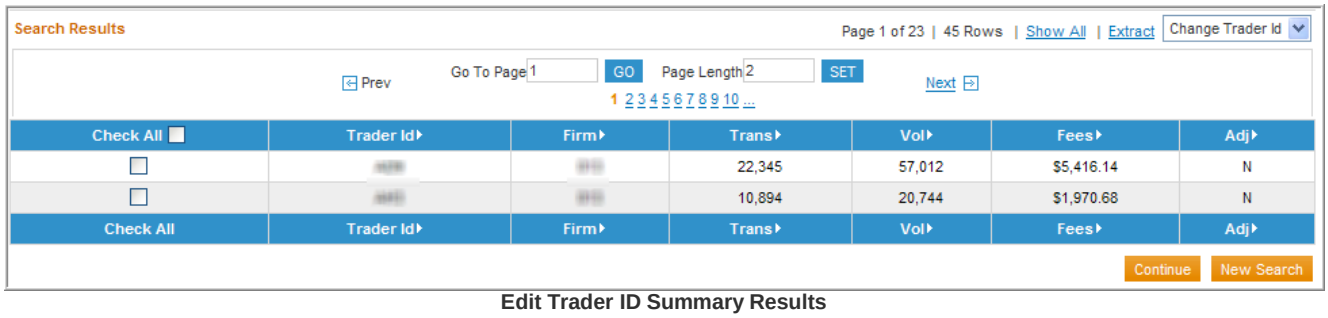
5. The **Adj** column at the right will change from **N** to **Y** to indicate that this item has been submitted to be reprocessed during that night's batch cycle. After submitting a request to edit trades, the User will receive a message indicating that the resubmission is in progress**.**

3.4.2 Edit Trader ID Mode

Trader ID is a single field used to identify an individual executing either a Pit or Electronic transaction. The field contains the "Broker Symbol" for Pit transactions and the "TAG 50" Operator ID for Electronic transactions.

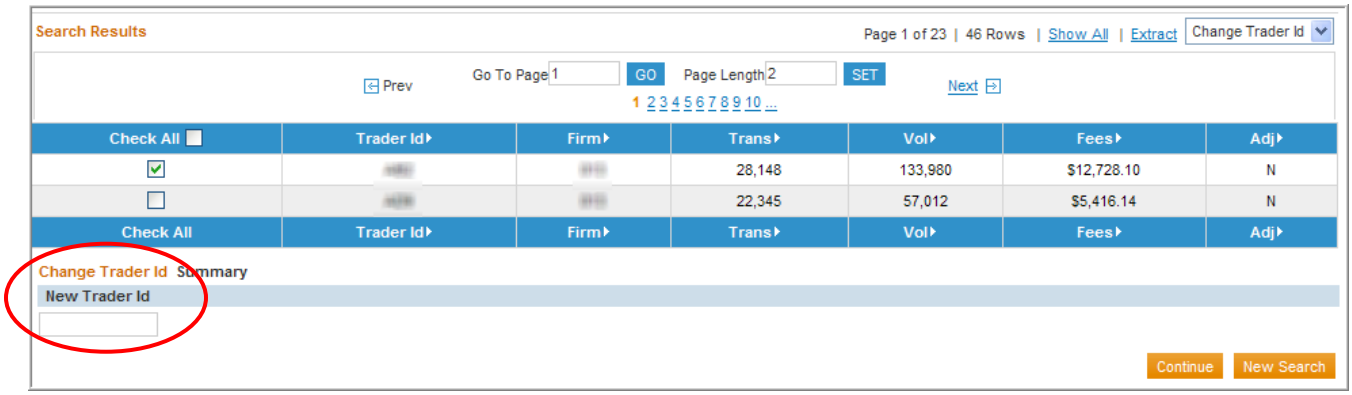
If it has been determined that a Trader ID has been passed through incorrectly for either a Pit or Electronic transaction, you may update the ID through the **Edit Trader ID** Mode, utilizing the instructions below:

1. From the **Mode** field, choose **Edit Trader ID**.
2. **Trader ID** will default in the **Summarized By** field. **Trader ID/Trd Acct** can be selected if needed**.**
3. Select the **Firm**.
4. In the Location field, if left blank, electronic and pit will be included. Select **ELC** (to update only the "TAG 50" Operator ID) or select **PIT** (to update only the "Broker Symbol").
5. Click Submit.



Edit Trader ID Summary Results

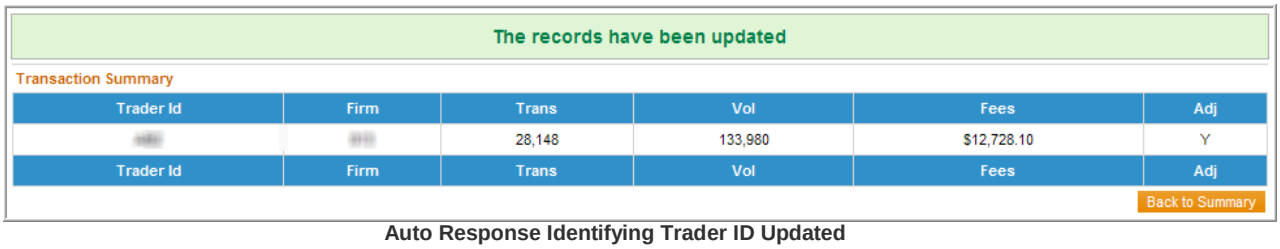
6. Select the **Change Trader ID** option from the drop-down menu.
7. Enter the **New Trader ID**.



New/Change Trader ID Entry Screen

8. Click the **Continue** button.

The Change Trader ID screen will be returned, with a confirmation message. The adjustment status has changed to "Y". The old trader ID is still displayed at this time, but will be updated in that night's processing cycle.



The records have been updated

Transaction Summary

Trader Id	Firm	Trans	Vol	Fees	Adj
[illegible]	[illegible]	28,148	133,980	$12,728.10	Y
Trader Id	Firm	Trans	Vol	Fees	Adj

Back to Summary

Auto Response Identifying Trader ID Updated

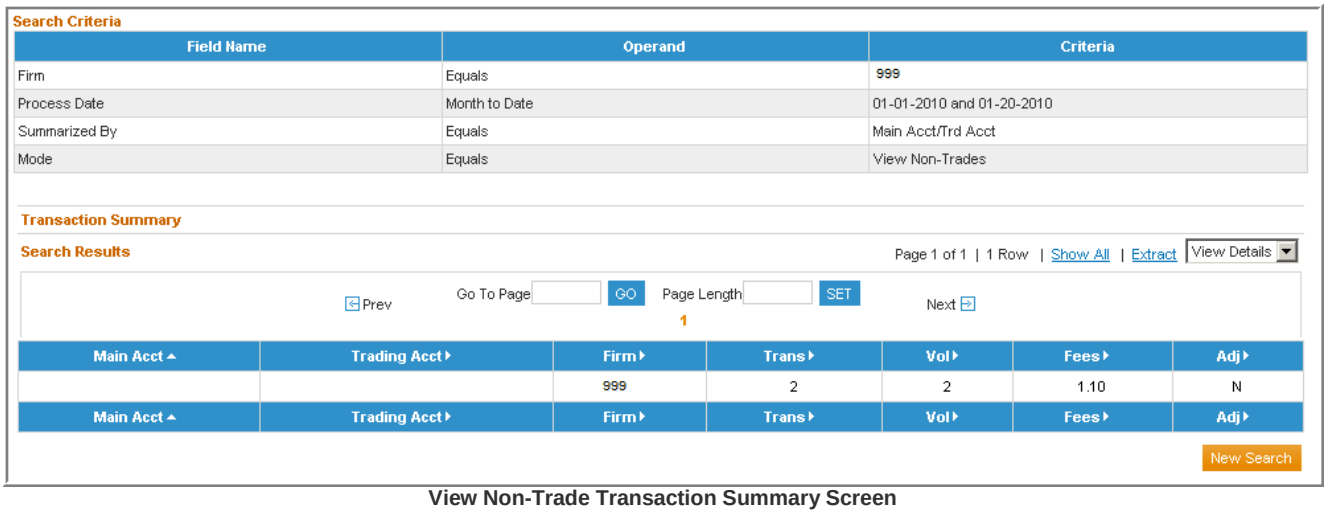
3.4.3 View Non-Trades Mode

The View Non-Trades mode allows the User to view allocated and unallocated Exercises, Assignments and Deliveries, plus other non trade activity such as Cash Settlements, Futures from Exercise, Futures from Assignments and Expirations.

NOTE: **Account numbers are not attached to these transaction types and as a result, non-trade exchange fees are applied at the NON-MEMBER RATE. Therefore, it is important to utilize this mode to determine which activity should be allocated to member accounts in order to receive the reduced non-trade exchange fee rate.**

A. Transaction Summary

After executing a search in the View Non-Trades Mode, the **Transaction Summary** will be displayed. The non-trade activity will be summarized to either a blank account (denoting unallocated activity) or to previously allocated accounts. Simply click on one of the summary line items in order to obtain the details.



Search Criteria

Field Name	Operand	Criteria
Firm	Equals	999
Process Date	Month to Date	01-01-2010 and 01-20-2010
Summarized By	Equals	Main Acct/Trd Acct
Mode	Equals	View Non-Trades

Transaction Summary

Search Results

Page 1 of 1 | 1 Row | Show All | Extract | View Details

Prev Go To Page GO Page Length SET Next

1

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Adj
		999	2	2	1.10	N
Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Adj

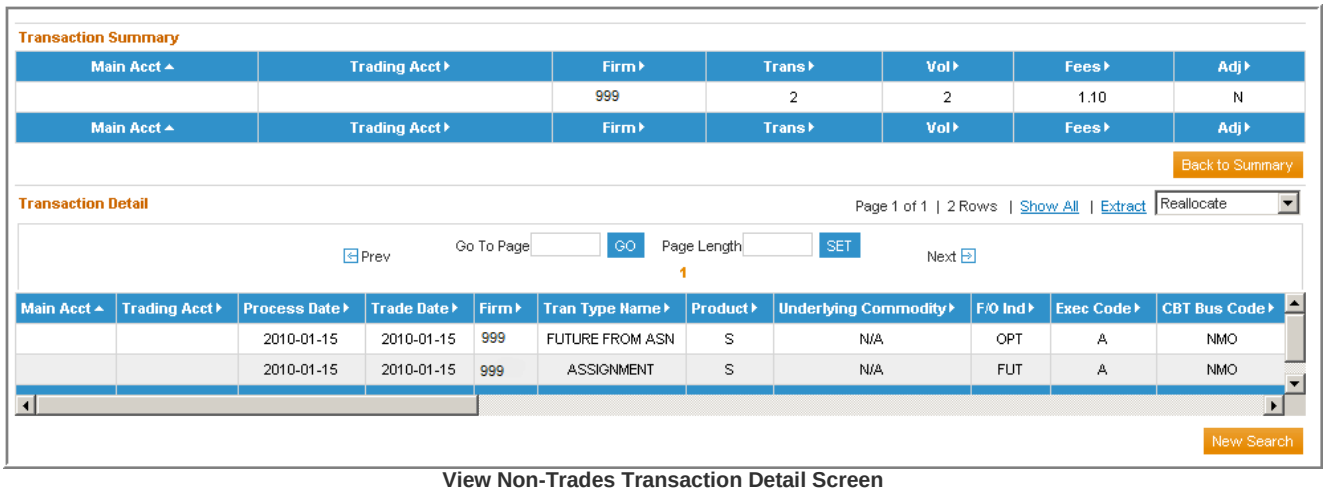
New Search

View Non-Trade Transaction Summary Screen

B. Transaction Details

After selecting one of the line items from the **Transaction Summary** screen, the screen will display all the associated non-trade activity **Transaction Details**. From the **Transaction Details** section the User may execute the following action items:

1. **Reallocate –** This feature will redirect the User to the Allocation screen with the fields pre-populated based on the line item selected in the Transaction viewer.
   - For instance if a User selects a single transaction of Firm ID = **999**, Transaction Type = **Assignment**, Product = **C**, then upon redirection to the allocation screen the user will have those fields pre-populated. Plus, within the allocation screen, the month will automatically obtain month-to-date activity (even though one-date may have been selected in the transaction viewer).
   - For CBOT, this feature is not available on transaction types Futures from Exercise and Futures from Assignment as the allocations for these transactions are systematically performed when the corresponding Exercises and Assignments are allocated.



View Non-Trades Transaction Detail Screen

NOTE: **If the User goes to the Allocation Screen and then back to the Transaction Viewer, the search results will be in the same state; therefore in order to refresh the result set the User must re-perform the search. To do this, select the NEW SEARCH button below the transaction detail section.**

3.5 Appendix I - Transaction Viewer Basic Search Field Definitions

FIELD NAME	DESCRIPTION
Firm	Represents the filling firm (executing firm) of the transaction.
Location	The location in where the trade was executed (Pit or Electronic).
Mode	The action to be taken (e.g. Edit Trader ID, Edit Trades, View Non-Trades, View Trades).
Process Date	The date that the trade was processed in EFS.
Summarized By	How the data will be grouped (e.g. Main Account/Trading Account, Product, Trader ID, Trader ID/Trading Account, Trading Account).
Trade Date	The date that the trade was executed.

3.6 Appendix II - Transaction Viewer Advanced Search Field Definitions

FIELD NAME	DEFINITION	
Applied Fee Indicator (CME)	Applied Fee Indicator (AFI) corresponds to the respective levels on the fee schedule.	
	B	CBOE Member
	BP	eFX Bank Incentive Program (BIP) Participant
	C	Non-Member
	E	Individual Equity Member, Clearing Member, Rule 106.J Corporate Equity Member Firm, Rule 106.I Member Firm, Rule 106.S Member Approved Fund
	F	Rule 106.F Employee
	L	Rule 106.D Lessee
	O	Rule 106.H/N Firm
	RH	Rule 106.R Electronic Corporate Member – Holding Member
	RW	Rule 106.R Electronic Corporate Member – Volume Incentive Program
	X	Out of Division
Applied Fee Indicator (CBOT)	Applied Fee Indicator corresponds to the respective levels on the fee schedule.	
	L1	Individual Equity Member trading for own account.
	L1D	Individual Lessee (Delegate/106.D) trading for own account.
	L1F	Individual Clearing Firm Employee (Firm Appointee/106.F) trading for own account (delegate rates will apply).
	L2	Individual Equity Members (where another individual is executing the trade) and Equity Firms that have the trading rights and share minimum for the product traded.
	L3	Individual Non-Equity Members (where another individual is executing the trade) and Non-Equity Member Firms that have the trading rights but do not have share minimum for the product traded.
	L3D	Individual Delegate Members where another individual is executing the trade.
	L3F	Individual Clearing Firm Employee where another individual is executing the trade.
	L4	Electronic Corporate Member Firms
	L5	Non-Member

FIELD NAME	DEFINITION
	L6 Mini-sized Contract Permit Holders (also known as a CMACE Permit) **L6D** Individual Lessee (Delegate/106.D) whom is also holding a CMACE permit. **L6F** Individual Clearing Firm Employee (Firm Appointee/106.F) whom is also holding a CMACE permit. **L7** CME Members eligible for discounted rates on the Mini-Dow.
Applied Fee Indicator (CCE)	Applied Fee Indicator corresponds to the respective levels on the fee schedule. **M** Member **N** Non-Member
Applied Fee Indicator (DME)	Applied Fee Indicator corresponds to the respective levels on the fee schedule. **DFF** DME Floor Member **DOF** Off-Floor Member **DCM** DME Clearing Member **DMM** DME Market Maker **DNM** NYMEX Member **DCU** Non-Member
Applied Fee Indicator (NYMEX/GREEN)	Applied Fee Indicator corresponds to the respective levels on the fee schedule. **C** Non-Member **E** Equity (Firm or Individual) **F** 106.F Member **L** Lessee Member (Rule106.D) *(Formerly referred to as Licensee)* **X** Blended - Member Trading Outside Division, eligible for blended rates
Broker	Field identifies the member's acronym, typically referred to as Broker Symbol. This field should be predominately utilized for isolating PIT trading activity.
Product	Indicator code (usually a two to five character code) for the contract traded.
Fee Incentive Indicator (CME, CBOT and NYMEX)	Fee Incentive Indicator corresponds to the respective Incentive Program status. Blanks (or spaces) in this field mean no incentive program status applies. *Note:* The Applied Fee Indicator for these Incentive Programs corresponds to Non-Member status, so this field is used to determine if Incentive Program rates were applied. **AIP** Asian Incentive Program **IIP** International Incentive Program **SAIP** South American Incentive Program, also known as the Latin American Bank Incentive Program (LABIP) **LACIP** Latin American Corporate Incentive Program **FMIP** Latin American Fund Manager Incentive Program
Facilitation Fees (CME, CBOT and NYMEX)	Facilitation Desk Fees
Fee Type	Allows a user to narrow the search by the fees charged to the transaction(s). Following is a list of fee types, grouped by the category under which they are billed to the clearing firm: **CBOT Clearing Fees** Clearing Fee, , E/A Surcharge, Expired Option Fee, Fung Surcharge, Give-Up Surcharge, Position Adjustment, Position Transfer **CBOT Exchange Fees** EFP Surcharge, Exchange Fee, Exchange Fee-NonTrd **CCE Transaction** Cash Settlement, Give-Up Surcharge, Position

Exchange Fee System

FIELD NAME	DEFINITION
	Fees — Adjustment, Position Transfer, Trans Fee – NonTrd, Transaction Fee **CME Clearing Fees** — Clearing Fee, E/A Surcharge, EFP Surcharge, Fee Credit, Give-Up Surcharge, New Brokerage-106F, Position Adjustment, Position Transfer, 106F Brokerage **CME Globex Fees** — Globex Fee **CBOT Brokerage Fees** — Brokerage, 106F Brokerage, 106F Brokerage Ind *(These Brokerage Fees are billed to the Broker, not the clearing firm.)* **CME Brokerage Fees** — New Brokerage-Other, 106D Brokerage *(These Brokerage Fees are billed to the Broker, not the clearing firm.)* **NYMEX/GREEN Exchange Fees** — Block Surcharge, Cash Settlement, Day Credit, E/A/D Notice, EFS Surcharge, , Exchange Fee – CPC, Exchange Fee – GBX, Exchange Fee – PIT, Exchange Fee – NONTRD, Fee Credit, Give-Up Surcharge, Lessee Surcharge, Position Adjustment, Position Transfer, Power Credit **DME Exchange Fees** — Block Surcharge, Cash Settlement, E/A/D Notice, Exchange Fee – CPC, Exchange Fee – GBX, Exchange Fee – NONTRD
F/O	Trading activity may be isolated by either the Futures or Option indicator.
Currency	Fees billed may be isolated by the currency in which they are billed.
Hours	Regular Trading Hours (RTH), the trading session that takes place during the timeframe that the trading floor is open, whether the trade is done on the floor or electronically. Extended Trading Hours (ETH), the electronic trading session that takes place outside of the hours during which the trading floor is open.
Main Account	This is the grouping account created by firms via the account maintenance screen to group all trading accounts with the same account owner(s) and controller(s).
Order Number	Field identifies the customer's order. This number is internally generated by the order routing software that uniquely identifies an order instruction.
Product Venue (NYMEX only)	**ALL** — NYMEX and COMEX products **COMEX** — COMEX products only **NYMEX** — NYMEX products only
Quadrant (CBOT, CCE, CME, DME & GREEN)	Each product can be identified by one of the following classifications: Agriculture (AGS), Currency (CURR),), Equity Index (INDEX), Interest Rate (INT RATE) and ERIS (CME only) For DME and GREEN, there are no Quadrant classifications, so the selection criterion is ALL. Product Venue is used instead of Quadrant for NYMEX.
Trader ID	Field identifies the executor's user ID, typically referred to as an Operator ID or TAG 50 for electronic activity, and broker symbol for pit activity.
Trading Account	This is the actual trading account number that was listed on the transaction.
Transaction Type	Field identifies the specific type of transaction executed, below are the descriptions: **PIT** — PIT SPRD, PIT TRD **Ex-PIT** — BLOCK, BLOCK SPREAD, EFP, EFR, EFS, EXCHANGE OPTIONS FOR OPTIONS

FIELD NAME	DEFINITION	
	Electronic	ELC SPRD, ELC TRD, GBX SPRD, GBX TRD
	Non-Trades	CASH SETTLE, DELIVERY, EXERCISE, ASSIGNMENT, EXPIRED OPTION, FUTURE FROM ASN, FUTURE FROM EXE
	Over The Counter	OTC (CME Only)
	Other Trading Activity	GIVE UP, POS ADJ, TRANSFER, TRANSFER RFO, EXCHANGE FOR MINI
Venue (NYMEX/DME/GREEN)	**NYPIT**	NYMEX Floor Trading (Open Outcry)
	CXPIT	COMEX Floor Trading (Open Outcry)
	CPC	ClearPort Clearing
	GLBX	Globex – CME Group electronic trading platform for NYMEX, COMEX, GREEN and DME products.

4. Allocation

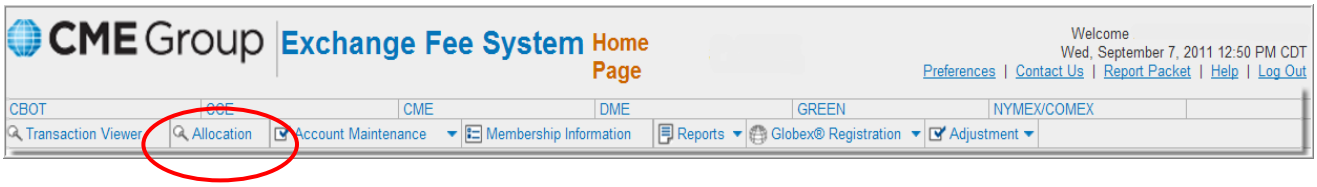
The Allocation screen allows the allocation of non-trade transactions (for example, Exercise, Assignment, Delivery, Cash Settlement, Expired Options, Future from Exercise and Future from Assignment) to the appropriate main and/or trading account, as well as the ability to edit previously allocated transactions. These Non-trade transaction types do not have account numbers associated to them when the records are received from CME Group Clearing. Therefore, they are charged at Non-Member rates until the firm allocates them to the appropriate underlying main and/or trading account.

Note for CBOT: Future from Exercise and Future from Assignment transactions do not need to be allocated separately. These transaction types will systematically be allocated to the same main and/or trading account entered for the associated Exercise or Assignment transaction.

NYMEX, GREEN, CCE and DME feature only: '***Show Optional Types'*** by selecting the check box. The fees for these optional transaction types are not based on membership status, therefore, they are not required to be allocated, however the User may do so if desired.

4.1 Accessing Allocation

To access **Allocation** select the option from the navigation menu.



The following transaction types are available for allocation by Exchange:

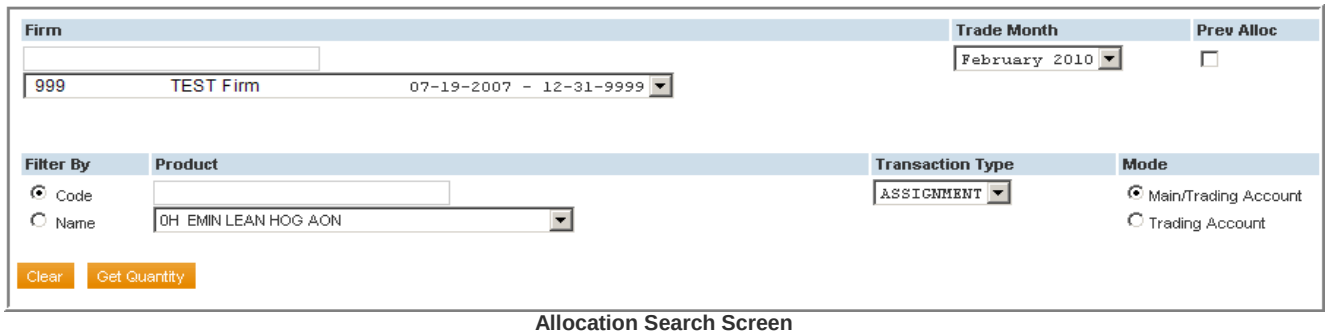
Transaction Type	CBOT	CME	NYMEX/COMEX/DME/GREEN	CCE
Assignment	X	X	Optional	Optional
Delivery	X	X	Optional	Optional
Exercise	X	X	Optional	Optional
Expirations	X	N/A	N/A	N/A
Cash Settlement	N/A	N/A	X	X
Future from Assignment	N/A	N/A	X	N/A
Future from Exercise	N/A	N/A	X	N/A
Swap from Assignment	N/A	N/A	N/A	X
Swap from Exercise	N/A	N/A	N/A	X

X = Full allocation functionality
N/A = Not valid for allocation for that product exchange

Optional = Available for allocation, but will have **no** fee impact if applied. Feature was made available per request, for bookkeeping purposes.

4.2 Searching for Transactions to Allocate

After the User selects the Allocation menu option from the navigation bar, the allocation search screen will be displayed. ***Refer to Appendix III – Allocation Field Descriptions.***



Allocation Search Screen

To execute a search for **unallocated** transactions, the User must select the following fields:

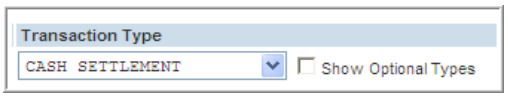
- Firm
- Trade Month
- Product (Filter by Code or Name)
- Transaction Type
- Mode (to allocate by Main/Trading Account or Trading Account)

After completing these fields, select the **Get Quantity** button. The Reallocation screen will display. Depending on the Mode selected, the User will be able to select the **Main Account** and/or **Trading Account** to which transactions should be allocated.

4.2.1 Additional Allocation Notes

For NYMEX/COMEX, GREEN, CCE and DME Exchanges Only:

- The ***Show Optional Types*** selection allows the user to allocate the optional transaction types (those that do not have a fee impact associated with the allocation).



For CBOT Only:

- **Future from Assignment or Exercise** transactions will systematically be allocated to the same main and/or trading account when the corresponding Assignment or Exercise is allocated.
- A Future from Assignment or Exercise has the same product code as the option Assignment or Exercise, with the exception of **Flex Options, Weekly Treasury Options and Weekly Ag Options.** In order to allocate transactions associated with these option types, the allocation must be done using the underlying future product code.

  NOTE: A translation of the Flex and Weekly option codes to the underlying futures codes is available within the Commodity Code Listing on the EFS Home Page.
- For **Soybean Crush Options** the product code and quantity ratio differ between the option and the underlying futures, as shown in the table below.

  NOTE: A Crush Option Exercise or Assignment can be allocated using the option product code 31. The allocation will automatically apply the correct ratio to the corresponding Futures from Exercise or Assignment.

Commodity Code S	10 Soybean Futures
Commodity Code 06	11 Soybean Meal Futures

Commodity Code 07	9 Soybean Oil Futures

4.3 Performing Allocations

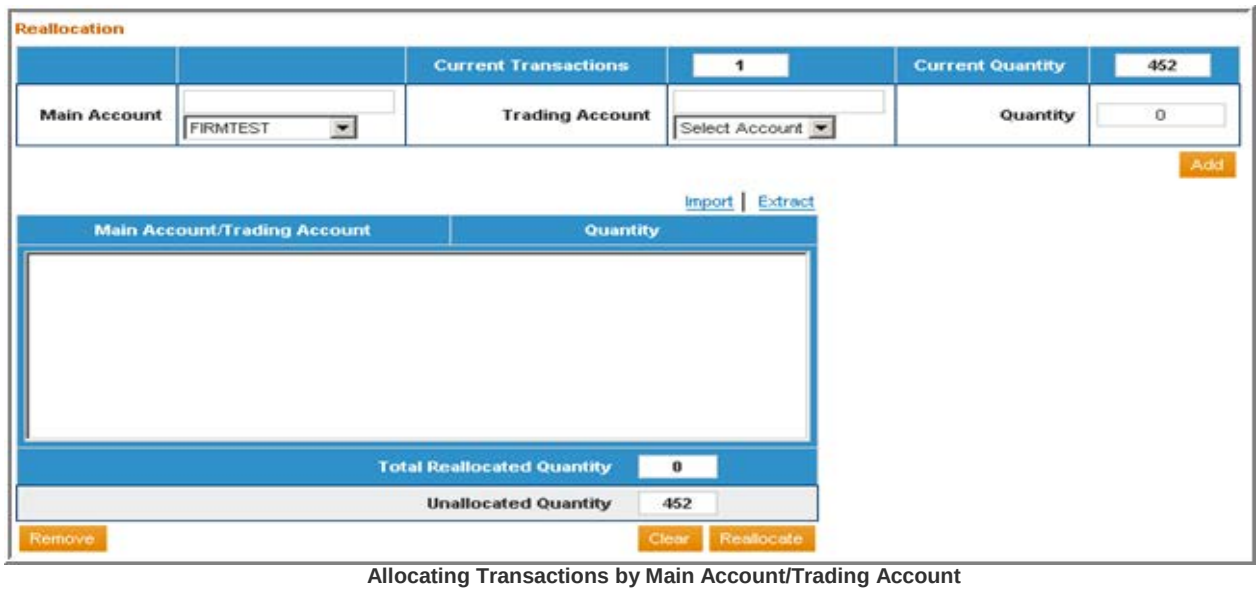
Allocations will be performed based on the Mode selected in the allocation search screen:

- By Main/Trading Account
- By Trading Account

Each mode will display the **Current Transactions** (current unallocated transaction count) and the **Current Quantity** (current number of available contracts to be allocated) at the top of the allocation form. These numbers cannot be edited.

4.3.1 Performing Allocations by Main/Trading Account

*The following screen will be displayed when selecting the **Main/Trading Account** Mode in the search form.*

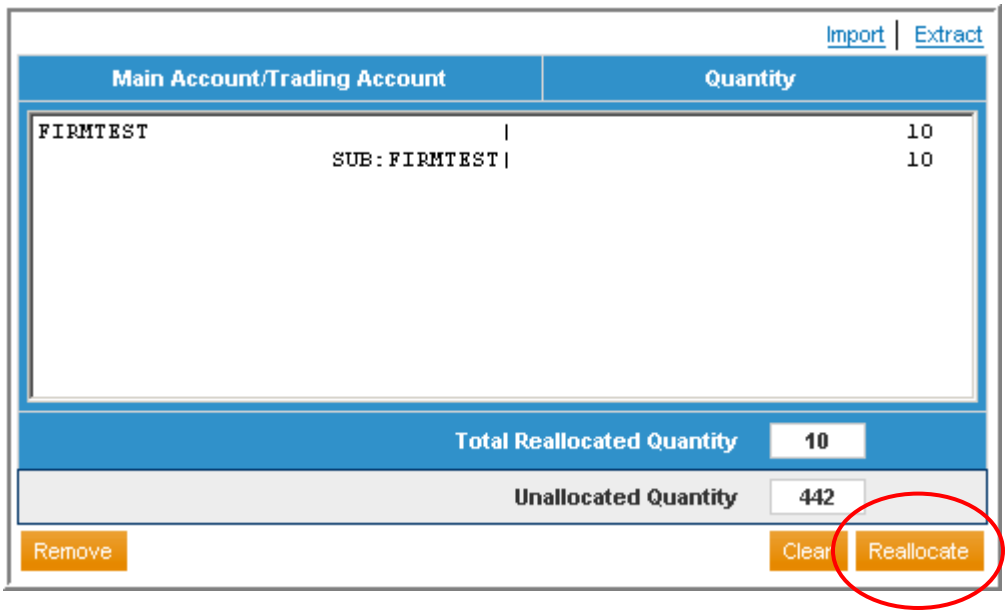


Allocating Transactions by Main Account/Trading Account

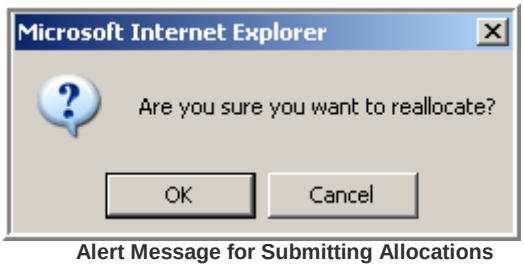
This feature provides only those accounts that have been registered in the Account Maintenance section of the EFS application. This ensures the User will not input an incorrect account number. Note: once the User allocates transactions, the User will have to wait until the next business day to correct those transactions if an error was made.

To Allocate Transactions by Main Account/Trading Account

1. In the **Account** field, select the **Main Account** number to which the transactions will be allocated.
2. In the **Trading Account** field, select the **Trading Account** to which the transactions will be allocated. Note: Trading Account is an optional field.
3. Go to the **Quantity** field and enter the number of contracts to be allocated to that account.
4. To complete this entry, select the **Add** button (or tab to the **Add** button and then select **Enter** on the keyboard)
5. **To Allocate Items to More than One Main/Trading Account**, simply repeat steps #1 through #4. The User can continue to allocate to additional accounts as long as the Current Quantity available to be allocated is greater than zero.
6. To complete the allocations, the User <u>must</u> select the **Reallocate** button. If this is not done, the allocations will not be processed. Please verify the data in the list is correct before reallocating.

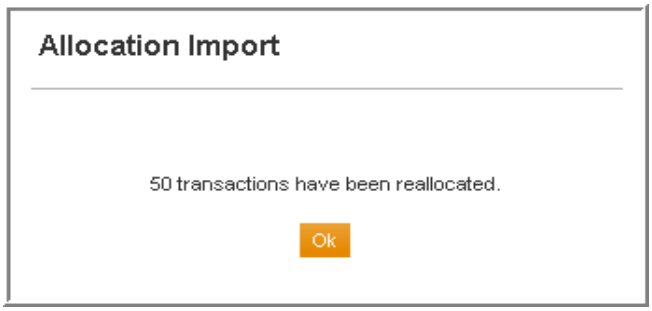


7. Upon selecting the **Reallocate** button, the User will be prompted to confirm the submission. Select **OK** to confirm or select **Cancel** to exit.



Alert Message for Submitting Allocations

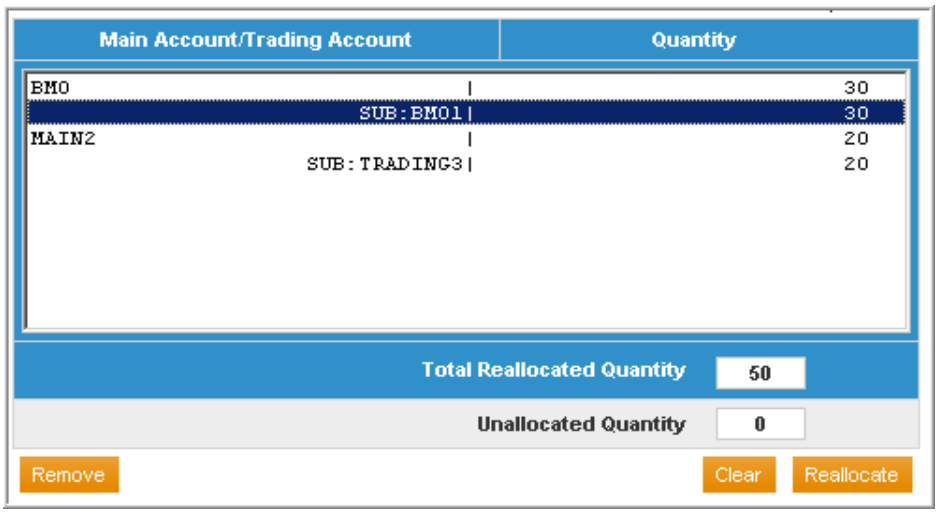
8. If the User selected **OK,** a confirmation message will display.



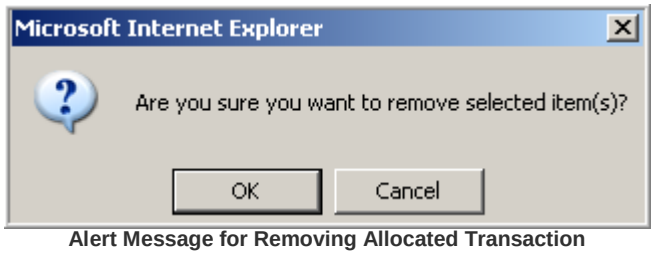
Confirmation Message for Submitting Allocations

To Remove an Allocated Account (prior to completing the Allocation)

1. Highlight the line(s) to be removed within the allocation box.



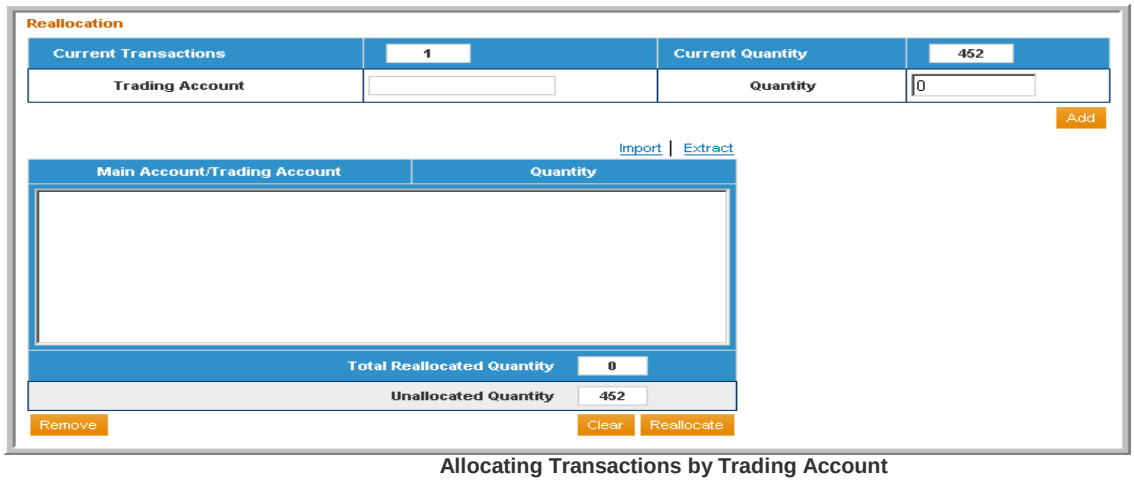
2. Select the **Remove** button. The User will be prompted to confirm the request. Select **OK** to confirm or select **Cancel** to exit.
3. If **OK** was selected, a confirmation message will display and the unallocated transaction count will be updated.



Alert Message for Removing Allocated Transaction

4.3.2 Performing Allocations by Trading Account

The following screen will be displayed when selecting the **Trading Account** Mode in the search form.



Allocating Transactions by Trading Account

The Trading Account mode allows the User to input the respective trading account without restricting the User to what has been registered within the EFS application. This feature may also be utilized for allocating transactions to non-member accounts.

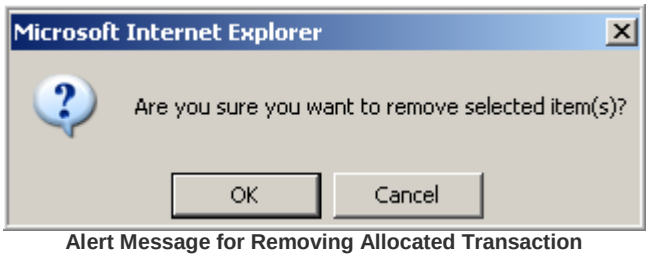
The system will automatically correlate the inputted trading account to a main account if one exists in the EFS account registration database.

To Allocate Transactions by Trading Account

1. In the **Trading Account** field, enter the **Trading Account** to which the transactions will be allocated. The trading account can be a maximum of 20 characters.
2. Go to the **Quantity** field and enter the number of contracts to be allocated to that account.
3. To complete this entry, select the **Add** button (or tab to the **Add** button and then select **Enter** on the keyboard).
4. **To Allocate Items to More than Trading Account**, simply repeat steps #1 through #3. The User can continue to allocate to additional accounts as long as the Current Quantity available to be allocated is greater than zero.
5. To complete the allocations, the User must select the **Reallocate** button. If this is not done, the allocations will not be processed. Please verify the data in the list is correct before reallocating.
6. Upon selecting the **Reallocate** button, the User will be prompted to confirm the submission. Select **OK** to confirm or select **Cancel** to exit.
7. If the User selected **OK,** a confirmation message will display.

To Remove an Allocated Trading Account (prior to completing the Allocation)

1. Highlight the line(s) to be removed within the allocation box.
2. Select the **Remove** button. The User will be prompted to confirm the request. Select **OK** to confirm or select **Cancel** to exit.
3. If **OK** was selected, a confirmation message will display and the unallocated transaction count will be updated.

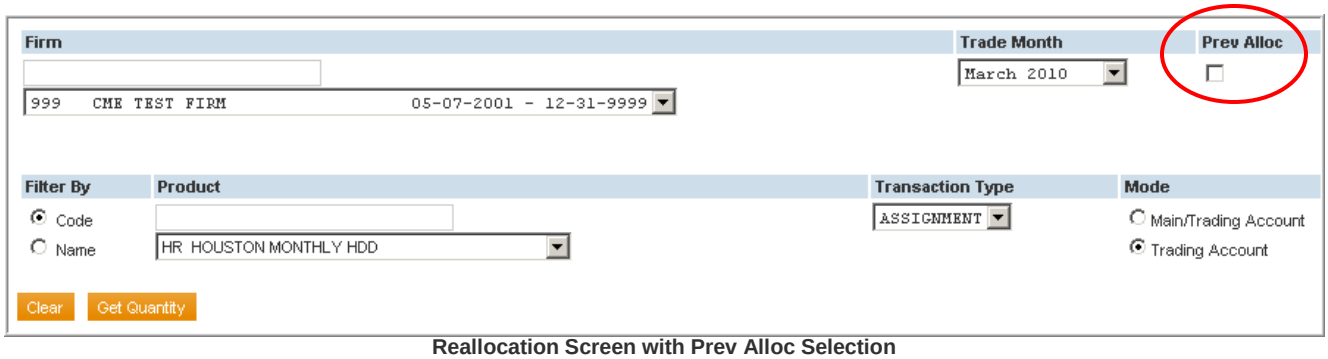


Alert Message for Removing Allocated Transaction

NOTE: Once the allocations have been submitted, they CANNOT be changed the same day. The allocations will be processed by the system overnight and the transactions will not be available for edit until the next day.

4.4 Editing Previously Allocated Trades

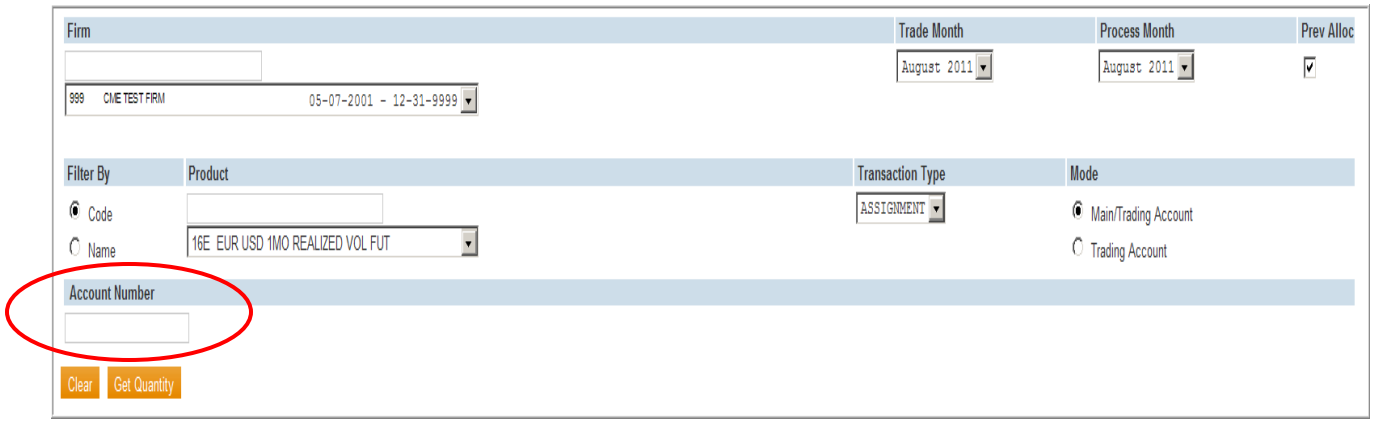
The **Prev Alloc** checkbox on the search form will allow the User to correct/update a previously allocated transaction.



Reallocation Screen with Prev Alloc Selection

Search Criterion for Previously Allocated Transactions

1. Select the **Firm.**
2. Select the **Prev Alloc** checkbox.
3. After selecting the **Prev Alloc** checkbox, the **Trade Month** and **Process Month** will be displayed, defaulting to the current month. The trade month denotes when the original trade was cleared while process month denotes when the original allocation was processed. For instance, if a January 2010 Exercise was allocated in February 2010, the User must select January 2010 as the trade month and February 2010 as the process month.
4. Continue to select the **Product**, **Transaction Type** and **Mode** (By Main/Trading Account or Trading Account).
5. Enter the **Account Number** (trading account) to which the transactions were previously allocated.



6. Select the **Get Quantity** button to obtain the results based on the criterion selected in Steps 1-5.
7. The results will display in the same format as if the transaction had never been allocated.
8. To complete the reallocation, follow the steps for **Performing Allocations**.

4.5 Allocation Import

This feature provides the ability to import allocations from a CME Group provided Excel spreadsheet template.

Please note, to use the **Import** feature the User must adhere to the following navigational processes:

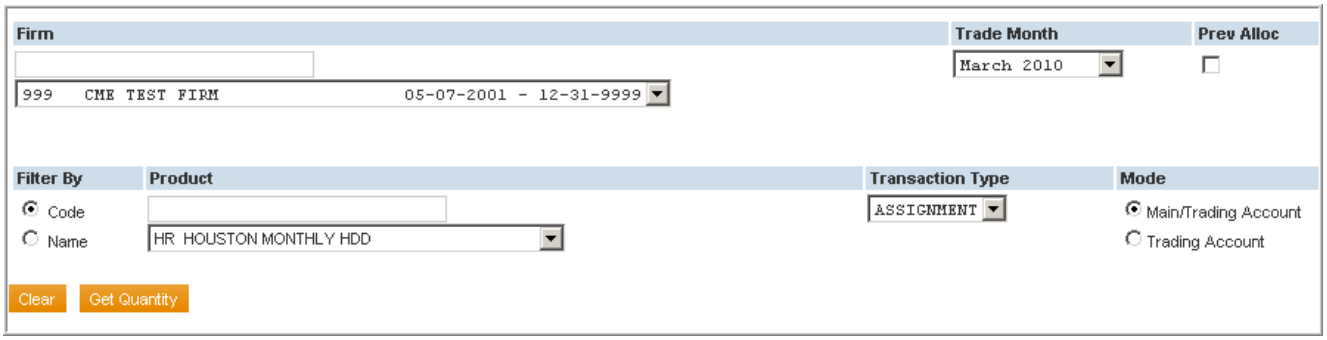
- If the User has selected mode “Main/Trading Account”, Main account is required when populating your spreadsheet. Trading account is not required. This will follow the same rules as when performing the allocations via the Allocations screen.

- If the User has selected mode “Trading Account”, Trading Account is required when populating your spreadsheet. Main Account must NOT be populated. If the Main account is populated the validation will fail. This will follow the same rules as when performing the allocations via the Allocations screen.

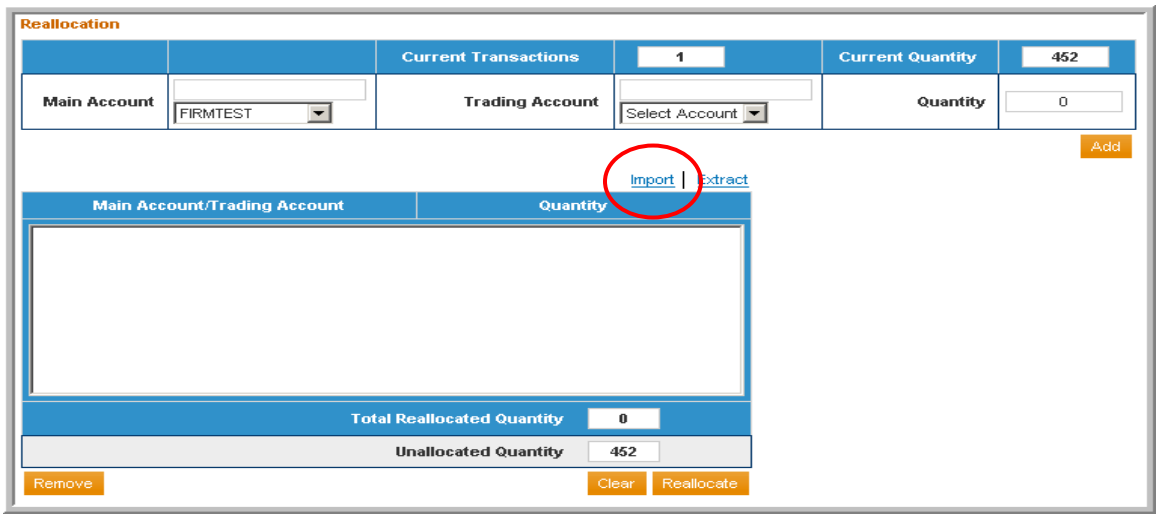
Once data has been imported into the screen the User will still be able to “**Add**” additional allocations if needed. The User will also be able to “**Remove**”, “**Clear**”, and “**Extract**” any of the data on the screen. The import function only affects the population of the data in the allocation box.

4.5.1 Import Instructions

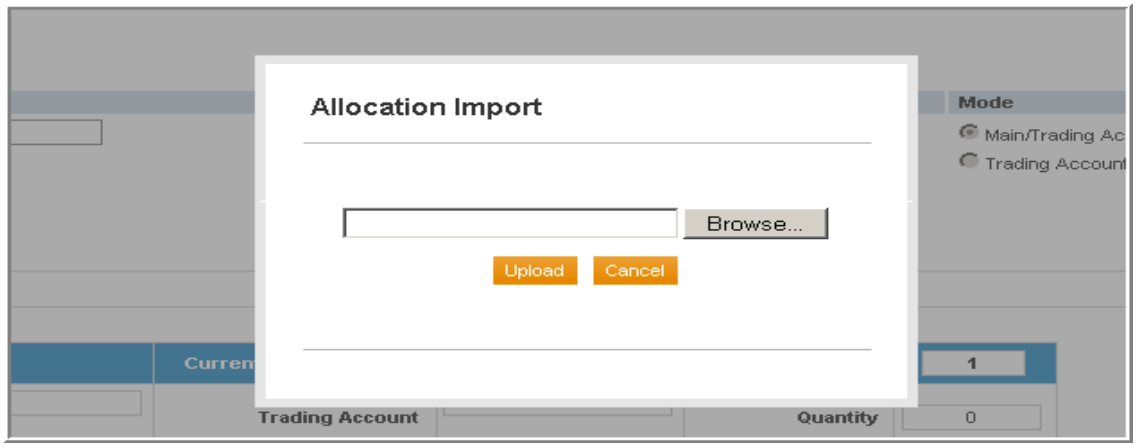
The User will continue to execute the search feature for allocations based on the Trade Month, Product, Transaction Type, and Mode, prior to selecting the “**Get Quantity**” feature.



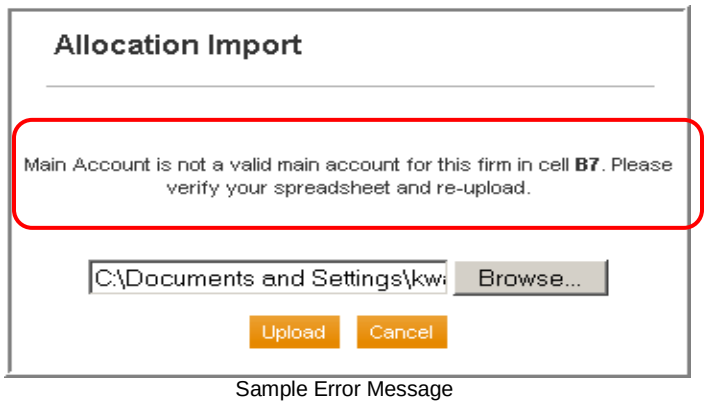
After the search has been executed, the “Import” feature will now be made available. If the provided CME Group spreadsheet (located on the homepage) is complete, the end user may select the “Import” hyperlink.



Once the “**Import**” hyperlink has been selected, the User will locate the Excel spreadsheet that has been saved/created using the “**Browse**” button. Once the file has been located, select the file utilizing the standard window prompts. The User will be able to view the filename in the Allocation Import Window’s textbox, to denote whether the file selected is accurate. If the file selected is accurate, select the “**Upload**” button. If the file selected is not accurate, re-execute the “Browse” button to find the file.



After the "**Upload**" button has been selected, the system will process the file to ensure the content is valid prior to populating the screen. If there are errors noted, the system will display those errors to denote what needs to be corrected; if the data is valid the allocation box will be populated just as when utilizing the online application.



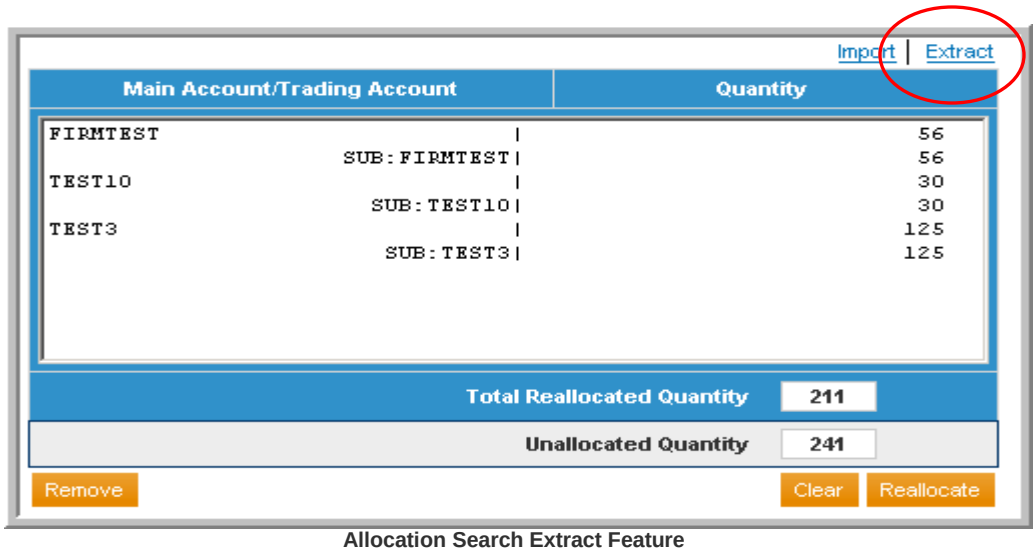
Sample Error Message

4.6 Allocation Screen Key Concepts

What does the term "Reallocate" signify?
Non Trade transactions are initially directed to a "blank" account for the firm, any allocation the User performs is known as **Reallocation**.

May I correct an allocation after submitting the records for allocation?
The User may only allocate transactions **ONE** time per business day. If a mistake is made and submitted, it cannot be corrected until the next business day.

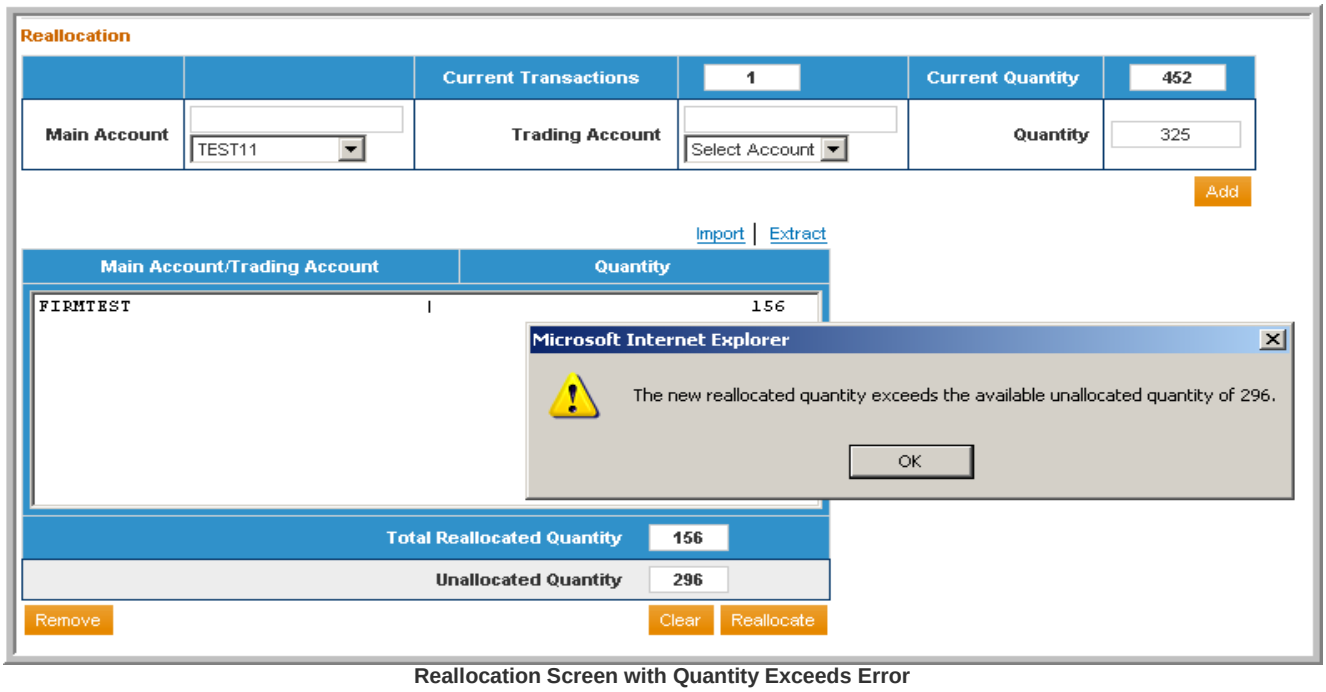
If I allocate many trading accounts at once, how am I best able to view them in the allocation screen?
If the scroll bar is not sufficient for viewing entries in the allocation box, the User may select the **Extract** hyperlink. Refer to the image below for reference.



Allocation Search Extract Feature

After selecting the **Extract** hyperlink the User will be prompted to **Open** or **Save** the extracted list of main/trading accounts to be allocated. To obtain a quick view of the accounts, select **Open**; to review at a later time or to save the data for import into another application, select **Save**.

What happens if the allocated quantity exceeds the available quantity, as shown in the image below?
If an entered quantity causes the Total Reallocated Quantity to exceed the number of contracts available for allocation, an error message will appear in a pop-up window. Click **OK** to remove the error message, return to that section and revise the quantity.



Reallocation Screen with Quantity Exceeds Error

What if I don't know what specific transactions are unallocated?
The User may execute the **Unallocated Non-Trades Report** in the **Reports** screen**,** or the User may utilize the **Transaction Viewer's "View Non-Trades"** mode, to determine what transactions may need to be allocated.

4.7 Appendix III - Allocation Field Descriptions

See the below table for more detailed descriptions of each Allocation field.

FIELD NAME	DESCRIPTION
Firm	This is equivalent to the trading member firm or also known as the executing firm. The User has authority to view specific firms and should choose the appropriate firm from their customized list.
Product	From the drop-down list, select the specific product associated with the transaction to be allocated. Allocations must be done one product at a time. The Product list can be sorted using '***Filter By***' Code or Name.
Prev Alloc	(Optional) Select this box to edit transactions that were previously allocated. The User will need to enter the specific trading account to which the items were previously allocated.
Trade Month	Select the month in which the transaction took place. **Users are able to allocate transactions for the current month and the prior two months.** ***NOTE:*** *During the first two business days of the month, the Trade Month field will default to the previous month. Thereafter, the Trade Month field will default to the current month.*
Mode	Feature allows the User to perform allocations using the following options: **Selection Criterion** — **Description** Main/Trading Account — This feature allows the User to allocate by the Main Account only. However, it is strongly encouraged by the CME Group Auditors to do allocations by Main Account and Trading Account, as this information is required in reviewing allocations during fee audit examinations. Also, this feature provides only those accounts that have been registered in the Account Maintenance section of the EFS application. Trading Account — This feature allows the User to enter the respective trading account without restricting the User to what has been registered within the EFS application. This feature may also be utilized for allocating transactions to non-member accounts. ***NOTE:*** *EFS will automatically correlate the entered trading account to a main account if one exists.*
	Allocations must be completed for one transaction type at a time. The types of transactions are: **Exercise** — The process of exchanging an option for the underlying Futures contract. **Delivery** — The tender and receipt of an actual commodity or financial instrument, or cash in settlement of a futures contract. **Assignment** — The designation of an option writer for fulfillment of his obligation to sell the underlying futures contract (call options writer) or buy the underlying futures contract (put option writer) upon notice from the Clearing House. Notice to the seller of an option that has been exercised by the buyer.

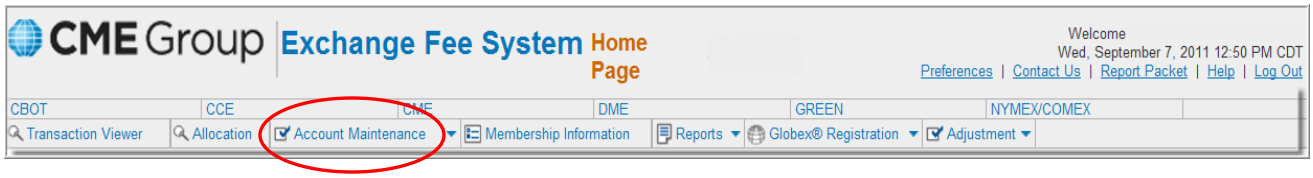
FIELD NAME	DESCRIPTION	
	Expired Options	When the expiration date for an option passes without the option being exercised or offset.
	Cash Settlement	The transfer of the associated cash position.
	Future from Assignment or Exercise	The future created upon option exercise or assignment.

5. Account Maintenance

The Account Maintenance screen allows the User to add, edit, move and view accounts within the fee system.

5.1 Accessing Account Maintenance

To access **Account Maintenance** select the option from the navigation menu.



When Account Maintenance is selected, the sub-menu options appear.

Dropdown Menu:

- **View** – Select this option to create a new account or to view or update an existing account.
- **Search** – Select this option to search accounts across exchanges.
-
- **Mass Expire** – Select this option to expire multiple accounts at once, at the Main Account level.

5.2 Account Maintenance – View

The **Account Maintenance – View** screen allows the User to add accounts and associate the owners and controllers (individuals trading with discretion) to those accounts. Without registered account information, the EFS application will default to the non-member rate. Therefore, it is important to ensure that accounts are registered timely and accurately.

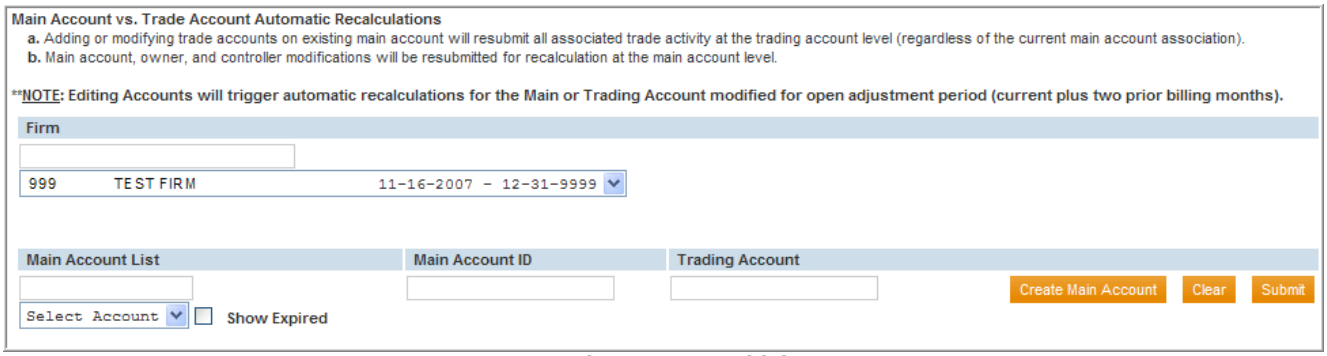
Account creation is done at a Main Account level (also known as an account alias, grouping account or roll-up account). All Trading Accounts are then associated to the Main Account. The User can enter the account owner/controller association(s) once for the Main Account rather than several times for each individual Trading Account.

Upon accessing the Account Maintenance – View screen, the User will be able to perform the following functions:

- **Create a New Main Account** – This function allows the User to create/register new Main Accounts, which entails associating the underlying Trading Accounts and the account owners/controllers.

- **View Existing Main Account** – This function allows the User to search by Main Account or Trading Account and view the associated account details.

- **Edit Existing Main Accounts/Trading Accounts/Account Owners/Account Controllers** – These functions allow the User to modify the details for existing Main Accounts, including the associated Trading Accounts and the account owners/controllers.



Account Maintenance – Initial Screen

Following is a description of the fields on this screen:

FIELD NAME	DESCRIPTION
Firm	Firm that the Main/Trading Account clears under.
Main Account List	Drop down list that is automatically pre-populated with all the Main Accounts registered under the Firm selected. ***NOTE:*** *To view expired Main Accounts, select the Show Expired box next to the Main Account List.*
Main Account ID	Field that is automatically filled with the Main Account ID once the User chooses it from the Main Account List. The User may also choose the Firm and then type the Main Account number directly into the Main Account ID field.
Trading Account	The User may search for a registered Trading Account by entering a Trading Account number in this field and clicking Submit. ***NOTE:*** *Trading account number entered must be an exact match, otherwise no results will be returned.*

5.3 Single Exchange and Across Exchange Modes

When using the **Account Maintenance – View** screen to create or edit Main Accounts, the User will be able to perform these functions either for a single Exchange or for multiple Exchanges at once by selecting one of the following:

- **Single Exchange Mode** – This is the default mode which allows the User to apply changes to the single exchange under which the search was executed.
- **Across Exchange Mode** – This is an optional mode which allows the User to apply changes across multiple exchanges. Therefore, this mode can be used to create or update account information that is the same at multiple exchanges. This feature is enabled by selecting the radio button for the “Across Exchange Mode”. This mode does not apply to CCE, DME and GREEN.

The actions allowed within each mode are summarized in the following table:

Location	Action	Single Mode	Across Exchange Mode
Main Account Details	Copy Main/Trade Account(s)	X	
	Expire Main Account	X	X
	Edit Main Account	X	X
	Add/Modify Trading Account(s)	X	X
Account Owner	Add Owner	X	X
	Copy Owner(s)	X	
Controllers	Add Controller	X	X
	Copy Controller(s)	X	

Across Exchange Mode
When this mode is selected, the User will need to perform the following additional selections:

a. **Exchange Selection**: Select the additional Exchange(s) to which the changes should be applied. **Note:** The other exchanges the User has been granted security access to will be available for selection, based on what exchange the User is in; for example, if the user is in the 'CME' exchange, selecting this mode will display CBOT and NYMEX, if the user has security access to those exchanges.
b. **Firm Selection**: After the exchange selection is complete, select the appropriate firm for each exchange (the firm number under which the account is/will be registered). **Note:** Firms available for selection are also based on the User's security access and only one firm per exchange may be selected.

5.4 Create a New Main Account

Within the **Account Maintenance – View** screen, the User can create a new Main Account by performing the following steps:

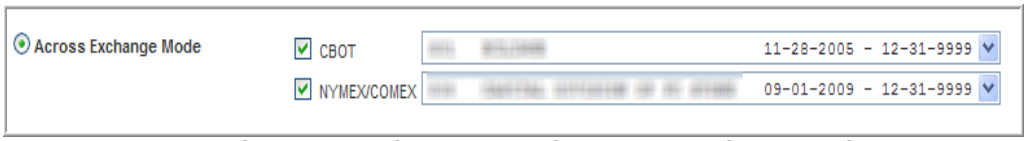
1. Select the **Firm** under which the main account will clear.
2. Select the **Create Main Account** button.
   - After the Create Account button has been selected, additional fields (Main Account, Account Type, Effective and Expiration Date, Account Title, Omnibus and Non Mbr Indicators) will appear.
3. Select **Single Exchange Mode** to create the Main Account within only the current Exchange or **Across Exchange Mode** to create the Main Account in the current Exchange and one or more additional Exchanges.

Note: In order to use the **Across Exchange Mode** when creating a new Main Account, the following conditions must exist:
- Account owner must be the same across the selected Exchanges.
- Account owner must have a membership/incentive program status across the selected Exchanges.
- Main Account Number, Firm Type and effective date must be the same across the selected Exchanges.
- Controllers must be members at each of the selected Exchanges. *If Controllers differ across the selected Exchanges, the User will need to edit the Controllers in the **Single Exchange Mode**.*

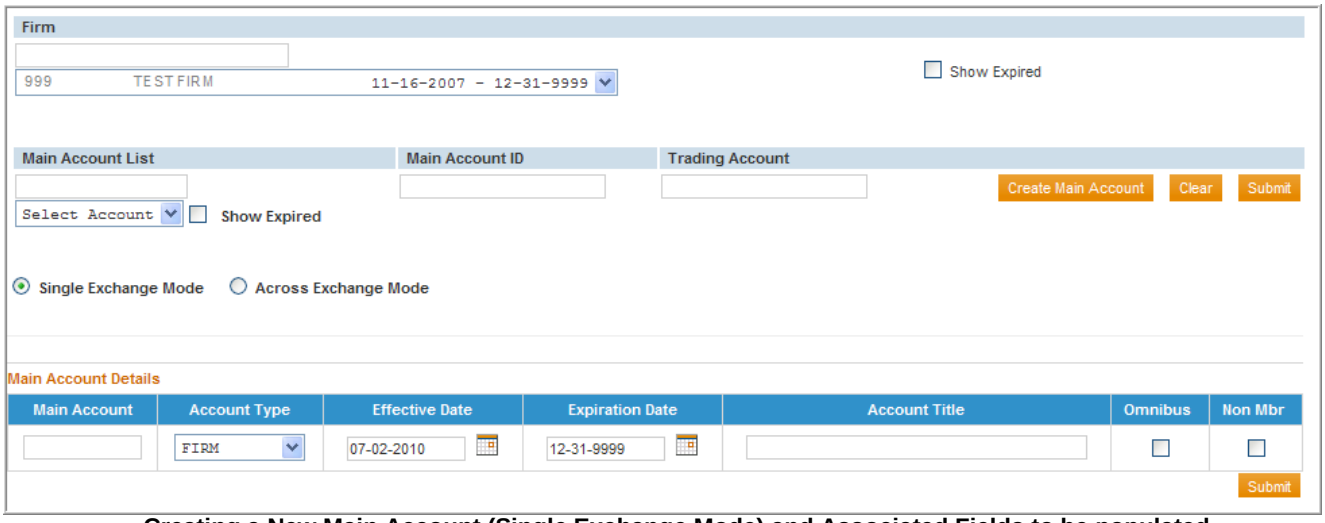
If ***Across Exchange Mode*** is selected, the following steps will have to be completed:

a. Select the **Exchange(s)** by clicking the corresponding checkbox(es).

b. Select the **Firm(s)** from the drop-down list.



Creating a New Main Account using Across Exchange Mode



Creating a New Main Account (Single Exchange Mode) and Associated Fields to be populated

4. Complete the **Main Account Details**

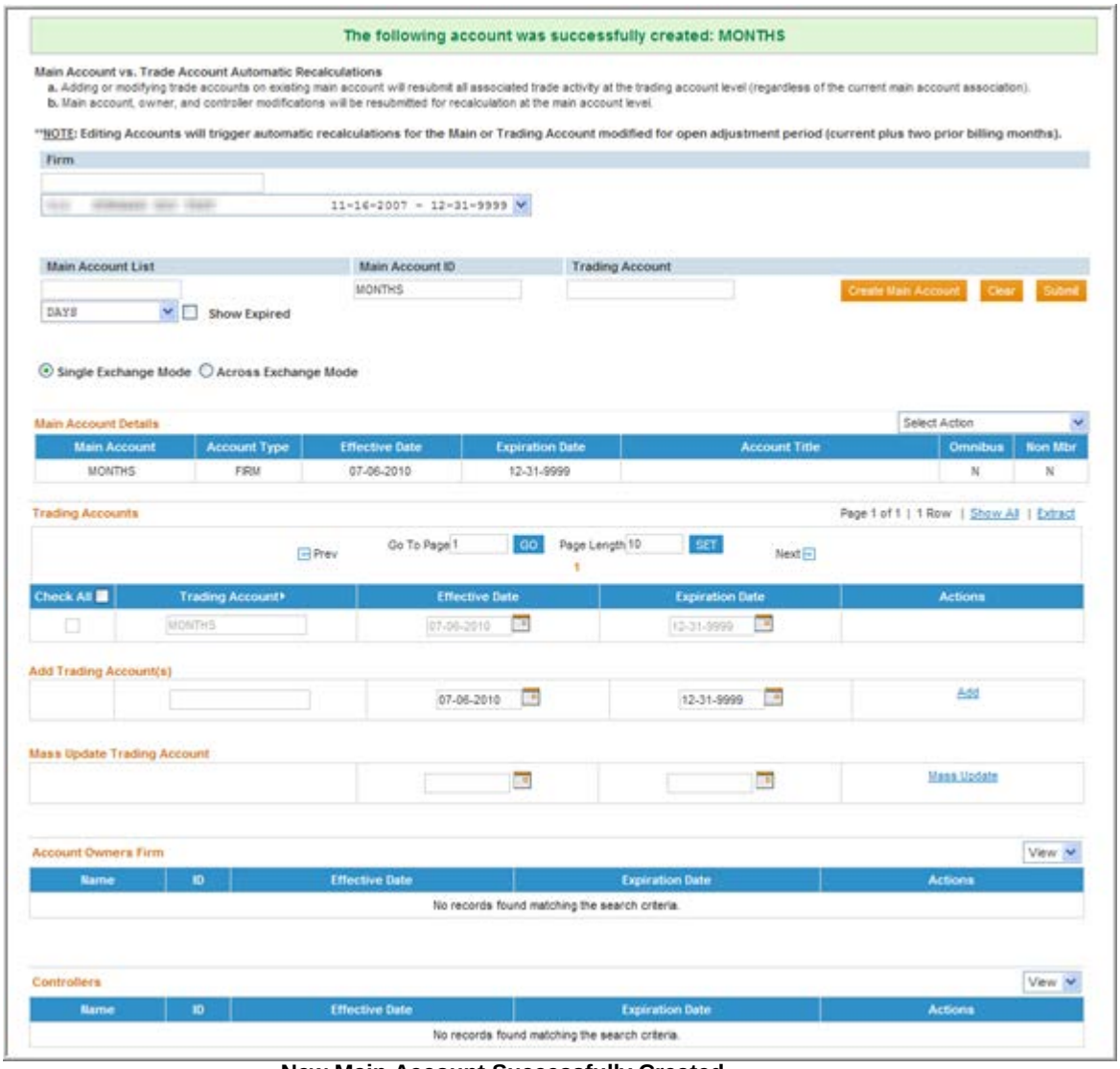
Field Descriptions of the Main Account Details:

FIELD NAME	DESCRIPTION
Main Account	This is the Main Account (roll up account, account alias or grouping account) to which the User wishes to associate the Trading Account(s).
Account Type	Account Type selection determines the list available for the account owner selection: • Firm – Only Firm/Entities may be the account owner • Individual – Only Individual Members may be the account owner • Joint – Two or more Individual Members may be listed as the account owner • Non-Member – An account that is jointly owned by a Member and a Non-member can be registered under this account type.
Effective Date	The date the main account became effective.
Expiration Date	The date the main account is no longer active. If the account is active, the expiration date should be left as the default date of 12-31-9999.
Account Title	This field is required as an audit trail of the underlying account owner whenever the account owner identified in the clearing member's equity system (i.e. account statement) does not exactly match the account owner registered in EFS. Otherwise, this field is optional for the User to add a description for tracking purposes.
Omnibus	This indicator is used to identify an omnibus account for audit purposes only.
Non Mbr	This indicator is used to identify that the account is jointly owned by a Non-member. This will automatically be checked when an Account Type of Non-Member is

FIELD NAME	DESCRIPTION
	selected, and will automatically result in the account receiving Non-member rates.

a. Enter the Main Account Number in the **Main Account** field.
b. Select the **Account Type** from the drop-down list.
c. Enter the Main Account's **Effective Date** by either:
   - Typing in the date (in the format of MM-DD-YYYY) or;
   - Select the calendar icon to the right of the Effective Date field and select the appropriate date.
d. The **Expiration Date** will default to 12-31-9999 to indicate that the account will be active until a further update is made. To select a different Expiration Date either:
   - Type in the date (in the format of MM-DD-YYYY) or;
   - Select the calendar icon to the right of the Expiration Date text field and click on the appropriate date.
e. Enter a title in the **Account Title** field.
f. Select the check box if this is an **Omnibus** account.
g. Select the check box if a **Non-Member** jointly owns the account.
h. After completing each field, select the **Submit** button to create the main account details. A message will display confirming the main account has been created.

NOTE: **Performing the above steps only creates the Main Account record. The User must also add the respective Trading Accounts and associate the account owners/controllers in order for the account to be eligible to receive reduced rates. Refer to the screen below noting the remaining fields that need to be completed.**



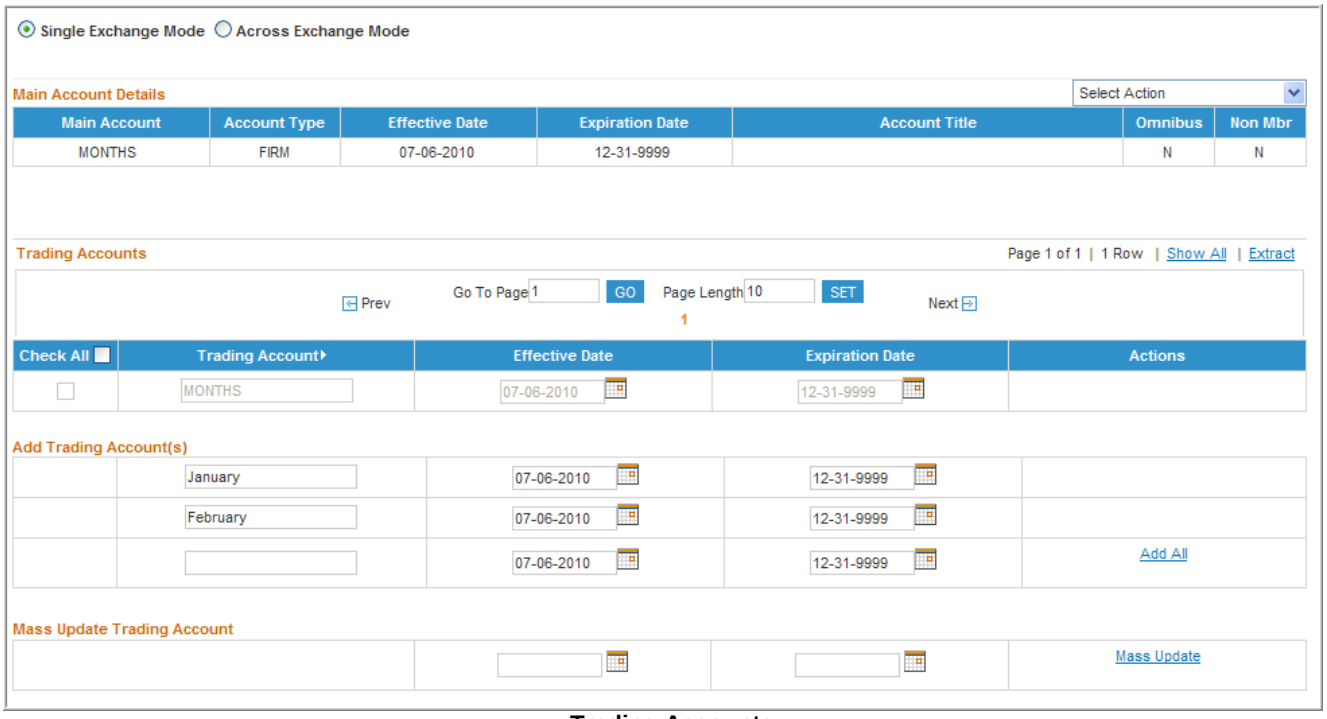
New Main Account Successfully Created

5.4.1 Adding Trading Accounts

Trading Accounts that have the same owner(s) and controller(s) can be grouped together under a single Main Account. If no grouping is done, then each Trading Account must be registered separately and will reflect the Trading Account number as the associated Main Account record. The Main Account record is utilized for applying the associated Exchange fees, so it is important that the Trading Account relationships are registered correctly.

NOTE: The Trading Account may only exist under one main account/clearing firm for a specific date range. Also, the Main Account entered will automatically become a Trading Account; therefore, this does not need to be re-entered.

The following is displayed for the Trading Accounts section:



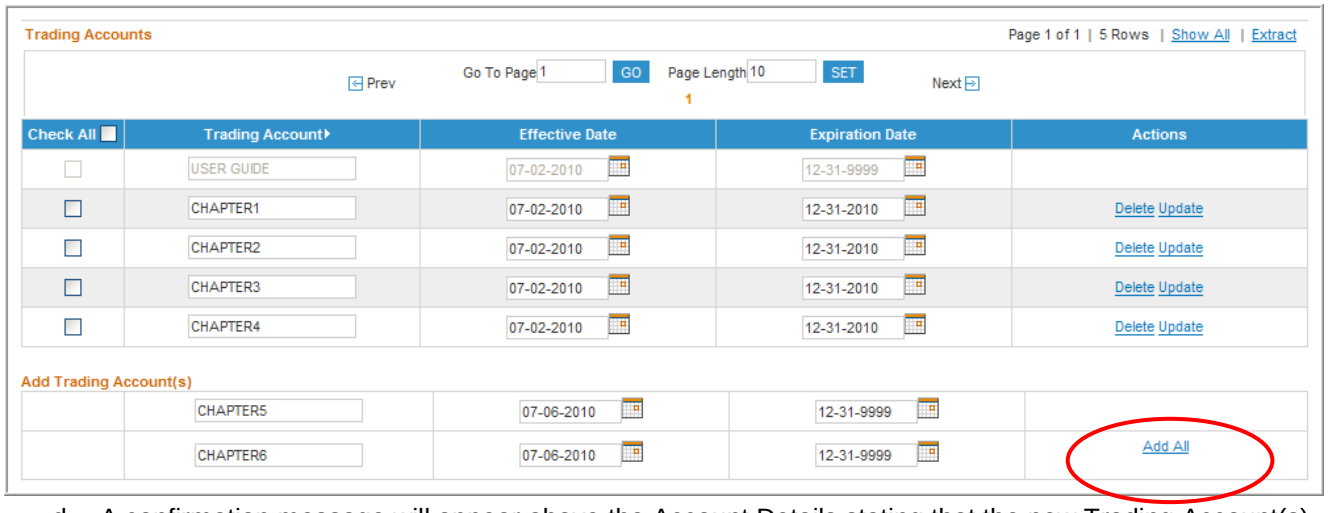
Trading Accounts

a. To add a new Trading Account enter the account number (up to 20 characters) into the textbox in the first row under Add Trading Account(s).

b. Enter the associated **Effective** and **Expiration** dates (should be equal to or between the Main Account's effective and expiration dates).

- To add multiple Trading Accounts where the effective and expiration dates are the same, use the ENTER key on the keyboard. After selecting 'ENTER', a new row will automatically be displayed to input the next Trading Account and the dates will already be populated.
- To add multiple Trading Accounts where the effective and/or expiration dates differ, use the TAB key on the keyboard. The TAB key will bring the User to the next field and will create a new row once the Trading Account, Effective Date and Expiration Date have been entered in the current row.

c. After entering all of the Trading Accounts, click the Add (when a single Trading Account has been added) or Add All (when more than one Trading Account has been added) link under the Actions column.



d. A confirmation message will appear above the Account Details stating that the new Trading Account(s) have been successfully added.

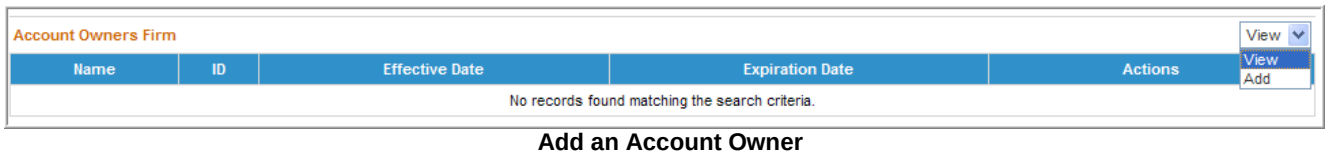
NOTE: **If the number of Trading Accounts registered exceeds 10, the system will automatically paginate the list at this time. To display all Trading Accounts, select the Show All hyperlink to remove the pagination.**

5.4.2 Adding Owners/Controllers to the Main Account

The account owners and controllers must be added to the Main Account in order to ensure that the appropriate fees will be applied. To add an owner/controller to a Main Account, the User will need to do the following:

1. Adding Owners

a. From the section labeled Account Owners, select **Add** from the drop-down list above the Actions column.



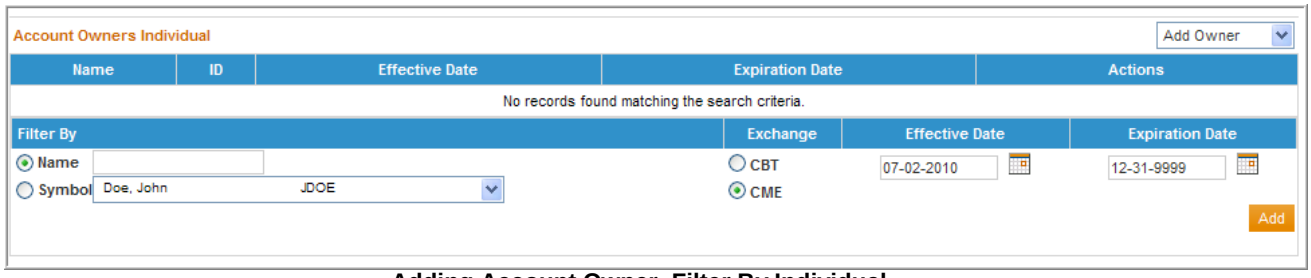
Add an Account Owner

b. After selecting **Add**, the search form will appear.

c. When adding Owner(s) in **Across Exchange Mode**, the account owner list available for selection will contain only potential account owners that have member or incentive program status at all exchanges specified. If the account owner does not appear in the list, the User should review the owner's status at each Exchange selected and revise the Exchange selections accordingly.

d. Select the Account Owner by utilizing the **Filter By** feature.

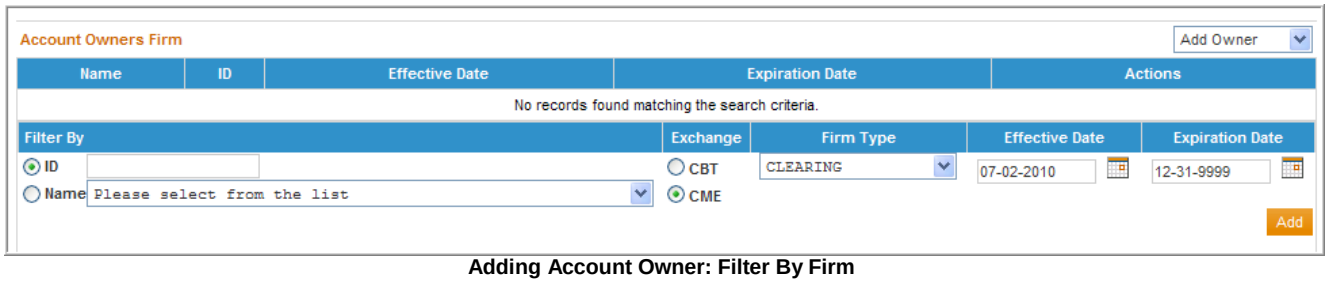
- For Account Type **Individual** the User will have the following **Filter By** features to locate the account owner:
  - **Name:** Select the **Name** radio button and type the first few characters of the individual's last name in the textbox. The drop-down will automatically narrow the User's search to the name that matches what was entered. Select the appropriate member from the list.
  - **Symbol:** Select the **Symbol** radio button and type the first few characters of the individual's member acronym in the textbox. The drop-down will automatically narrow the User's search to the symbol that matches what was entered. Select the appropriate member from the list.



Adding Account Owner: Filter By Individual

NOTE: **When adding an Individual Member as account owner, that individual will also automatically be added as a controller.**

- For Account Type **Firm** the User will have the following **Filter By** features to locate the account owner:
  - **ID:** Select the **ID** radio button and type the firm ID in the textbox. The drop-down menu contains firm IDs and will automatically narrow the User's search to the ID that was entered. If the ID does not appear in the drop-down list scroll through the list and select the ID of the appropriate firm.
  - **Name:** Select the **Name** radio button and type the first few characters of the firm's name in the textbox. The drop-down will automatically narrow the User's search to the firm that was entered. Select the appropriate firm from the list.



Adding Account Owner: Filter By Firm

e. Select an **Exchange**. Note: this field exists only in the **Single Exchange Mode** and applies to CME and CBOT only, where members of one Exchange can also be registered as account owners for the other Exchange.

f. Select the **Firm Type** (Member or Incentive Program category).

g. Enter the **Effective** and **Expiration Date** of the Account Owner. Note that dates must be equal to or between the Main Account's date range.

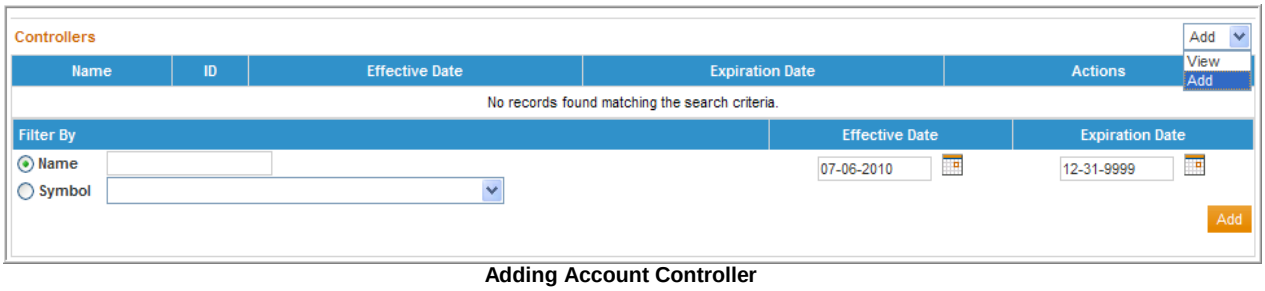
h. Select the **Add** button. A confirmation message will appear above the Account Owner, stating that the account owner has been added. Note that only one owner is allowed unless the account type is

specified as a **joint** account. If it is a joint account, then the User may continue to add as many owners to the account as needed.

2. Adding Controllers

Controllers should be added if an individual member is trading the account with discretion. Note that for an individual account the member listed as the account owner will automatically be listed as a controller.

1. From the section labeled **Controllers**, select **Add** from the drop-down list above the Actions column.
2. After selecting **Add**, the **search form** will appear.
3. When adding Controller(s) in **Across Exchange Mode**, the controller list available for selection will contain only potential controllers that have member status at all exchanges specified. If the controller does not appear in the list, the User should review the individual's status at each Exchange selected and revise the Exchange selections accordingly.
4. Use the **Filter By** fields to find the designated Controller.



Adding Account Controller

- As noted above, controllers can only be Individual Members therefore, the User will have the following **Filter By** features to locate the respective controller:
  - **Name:** Select the **Name** radio button and type the first few characters of the individual's last name in the textbox. The drop-down will automatically narrow the User's search to the name that matches what was entered. Select the appropriate member from the list.
  - **Symbol:** Select the **Symbol** radio button and type the first few characters of the individual's member acronym in the textbox. The drop-down will automatically narrow the User's search to the symbol that matches what was entered. Select the appropriate member from the list.

5. Enter the **Effective** and **Expiration Date** of the Account Controller. Note that dates must be equal to or between the Main Account date range.
6. Select the **Add** button. A confirmation message will appear stating that the controller has been added. Continue to add as many account controllers as necessary.

5.5 View Existing Main Account

Within the **Account Maintenance – View** screen, the User can view an existing registered Main Account by performing the following steps:

1. Select Firm

- If the firm number is known, type it in the **Firm** box.
- If the firm number is not known, click the arrow for the **Firm** drop-down, scroll through the list and click to highlight the appropriate firm.

2. Select the Main Account

- Click the arrow for the **Main Account List** drop-down. The User will then be able to scroll through the list of main account numbers for that firm until the desired account is located **or**;

- The User may utilize the AutoComplete feature that suggests possible main account matches as text is entered within the textbox. If the AutoComplete feature suggests more than one Main Account, click to highlight the appropriate account.

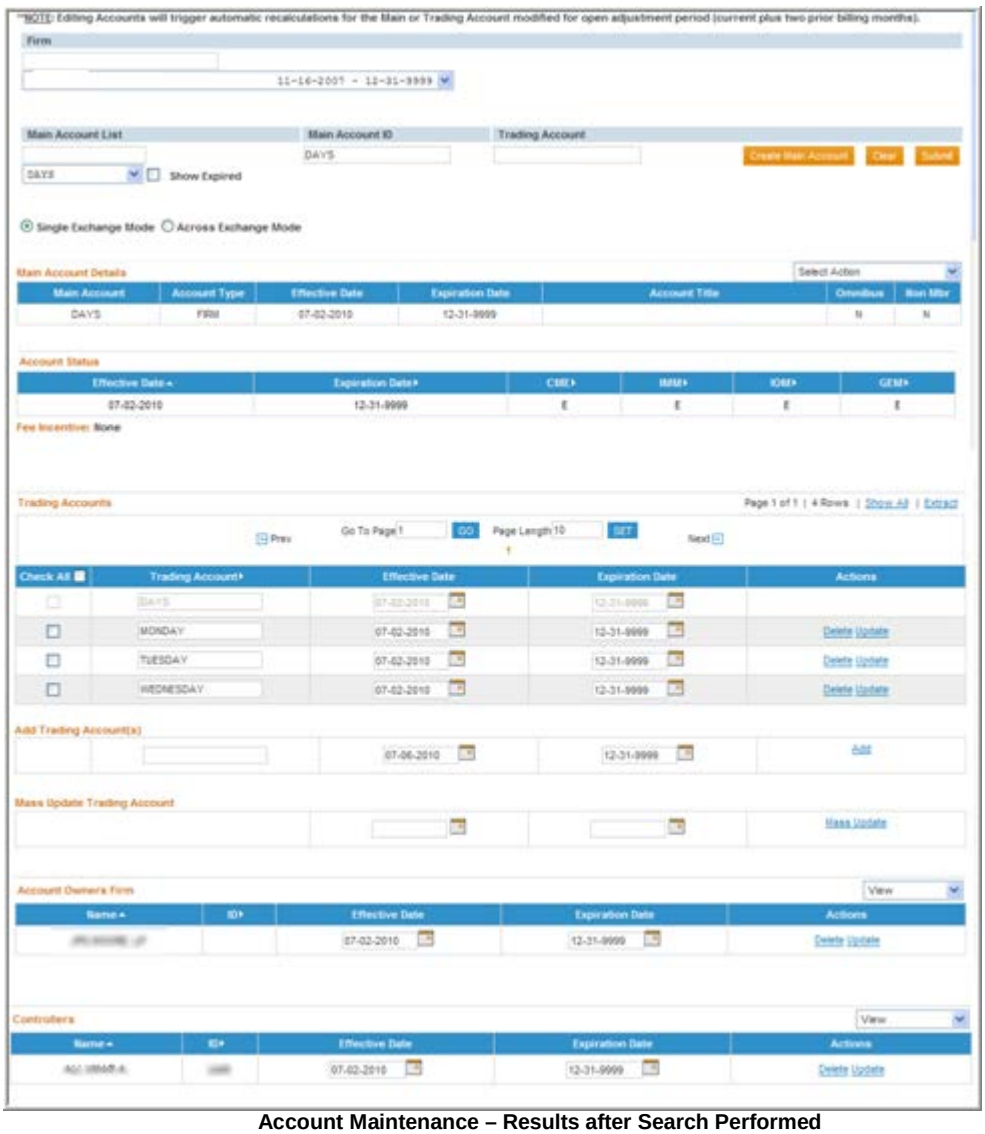
3. Select the Trading Account *(Optional)*

- The User may enter a Trading Account Number to search for a specific trading account registered under the Main Account previously selected. The account number entered must be an exact match or no results will be returned.
- The user may also choose to search using only this field if the Main Account is not known.

4. Select Submit

- The associated account details will display after selecting the **Submit** button.

NOTE: To view expired Main Accounts in the Main Account List drop-down, and to display expired account information in the corresponding results, check the box labeled "Show Expired".



Account Maintenance – Results after Search Performed

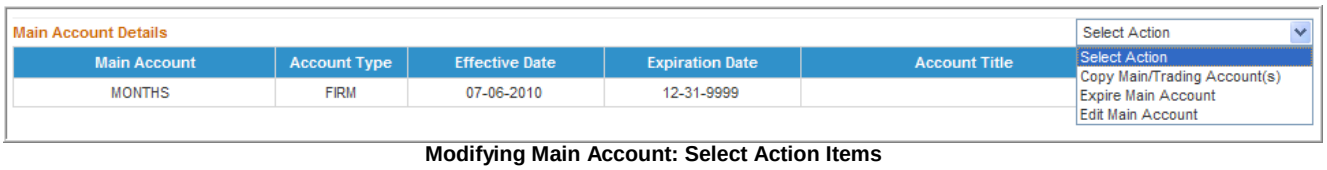
5.5.1 Editing Main Accounts/Trading Accounts/Account Owners/Controllers

Within the **Account Maintenance – View** screen, the User can modify the details for existing Main Accounts, including the associated Trading Accounts and the account owners/controllers.

NOTE: **For any modifications made within the Account Maintenance screen the system will automatically submit for recalculation the associated transactions for the open adjustment period (current plus two prior billing months).**

A. Modifying Main Accounts

After the User locates an existing main account, the following action items are available:



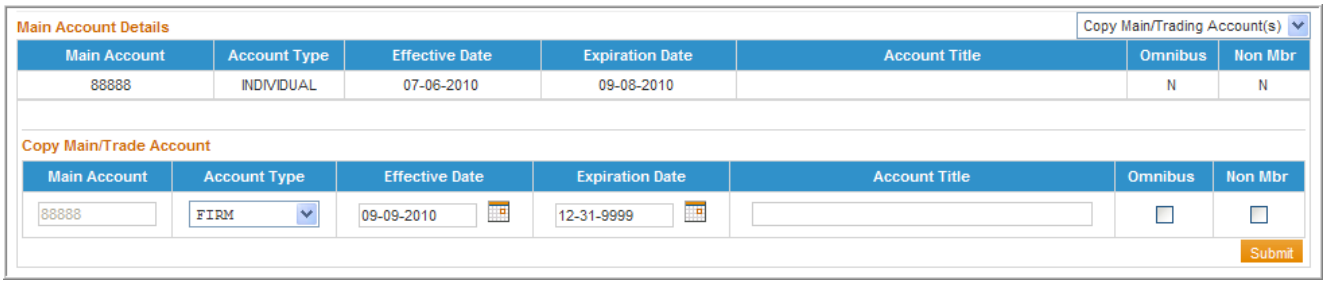
Modifying Main Account: Select Action Items

1. **Copy Main/Trading Account(s)**
   This feature is available in **Single Exchange Mode** only. The most common use of the Copy Main/Trading Account(s) feature is when the Account Type is changing for an existing Main Account, for example, from Individual to Firm or vice versa. The User can expire the existing Main Account and then use the Copy feature to recreate the same Main/Trading account grouping with a modified account type.

   The Main/Trading Account 'to be copied' must be expired prior to executing the Copy Main/Trading Account(s) functionality; two active instances of the same Main/Trading Account(s) cannot exist.

   Once the Main Account the User is copying from has been expired, perform a search for that Main Account by selecting the **Show Expired** box.

   a. Select **Copy Main/Trading Account(s)**.
   b. The **Copy Main/Trade Account** section will display.
   c. The User can edit the following:
      - Account Type
      - Effective or Expiration Date (Note: The effective date must be greater than or equal to the next calendar date after the expired date, so there is no overlap).
      - Account Title
      - Omnibus Indicator
      - Non-Member Indicator

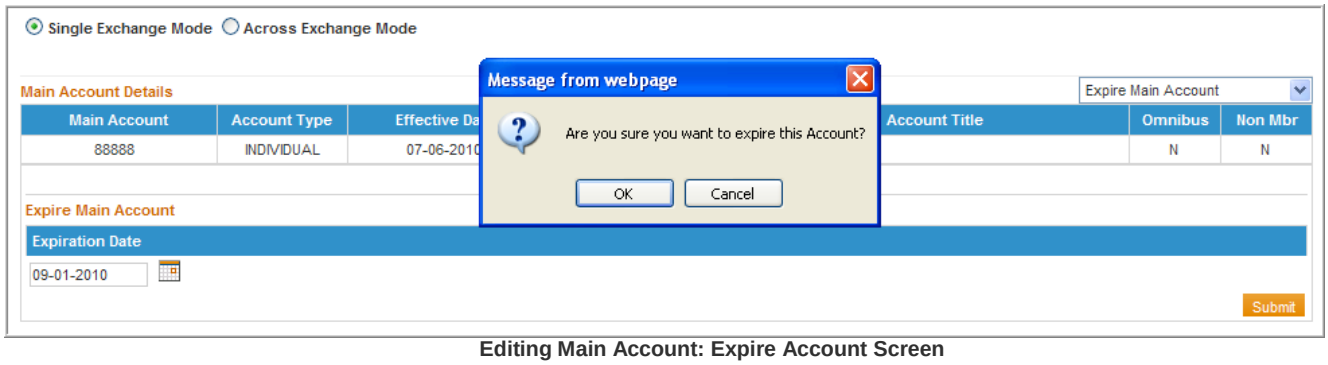


   d. After the appropriate fields have been updated, click **Submit**.

A confirmation message will display above the account details stating that the account has been copied.

NOTE: **The copy feature will NOT copy over the Owners and Controllers since the account type has likely changed. The User is required to add the Owners and Controllers as needed.**

2. **Expire Main Account**
   This feature allows the Main account and all of its associations (trading accounts and owners/controllers) to be expired. Note: The User may use the **Across Exchange Mode** to expire the Main Account at multiple Exchanges simultaneously, as long as that account exists at each selected Exchange.
   a. From the drop-down, select **Expire Main Account**.
   b. The **Expire Main Account** section will display.
   c. Enter the **Expiration Date** (MM-DD-YYYY) manually or use the calendar icon to select the expiration date.
   d. Select the **Submit** button.
   e. A Message Box will display asking the User to confirm the expiration of this account. Select **OK** to continue the expiration, or select **Cancel**.

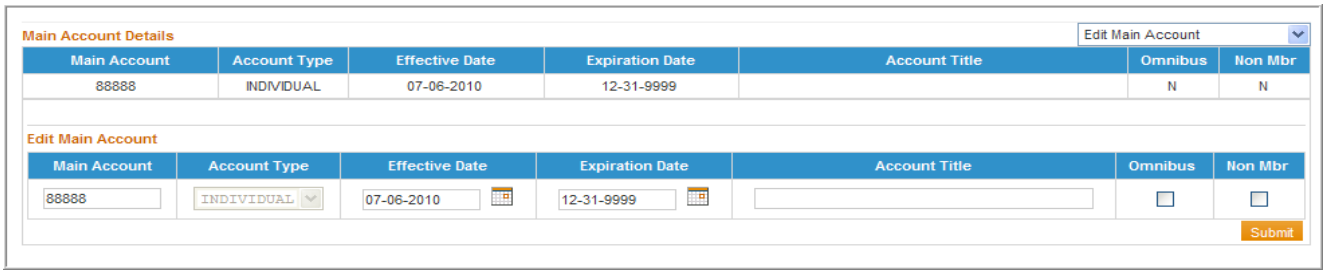


Editing Main Account: Expire Account Screen

   f. If **OK** was selected, then a confirmation message will display above the Account Details section stating that the account has been expired.

NOTE: **Once the main account has been expired, the only way to view this account and all its associated trading accounts is to click the "SHOW EXPIRED" box when submitting a search.**

3. **Edit Main Account**
   This feature allows the User to edit the Main account details. Note: The User may use the **Across Exchange Mode** to edit the Main Account at multiple Exchanges simultaneously, as long as that account exists at each selected Exchange.



a. From the drop-down, select **Edit Main Account**.
b. The User can edit the following:
   - Main Account Number
   - Effective or Expiration Date
   - Account Title
   - Omnibus Indicator
   - Non-Member Indicator

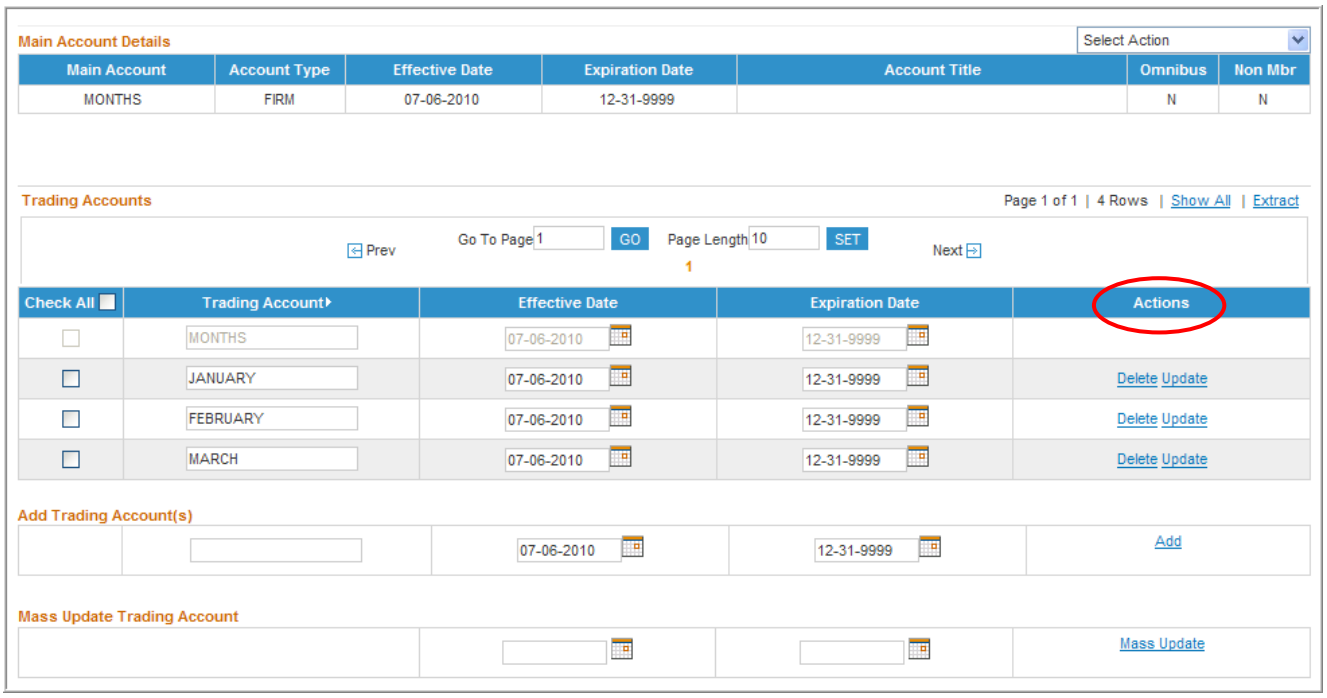
   Note: The Account Type field cannot be modified; the user must instead expire the Main Account and create a new Main Account record using the Copy Main/Training Account(s) function noted above.
c. After the appropriate fields have been updated, click **Submit**. A confirmation message will display above the Account Details stating that the account has been updated.

B. Modifying Trading Accounts

When viewing an existing Main Account, the associated trading accounts are displayed under the **Trading Accounts** section. Note: The User may use the **Across Exchange Mode** to edit Trading Account(s) at multiple Exchanges simultaneously, as long as the Trading Account(s) exist at each selected Exchange.

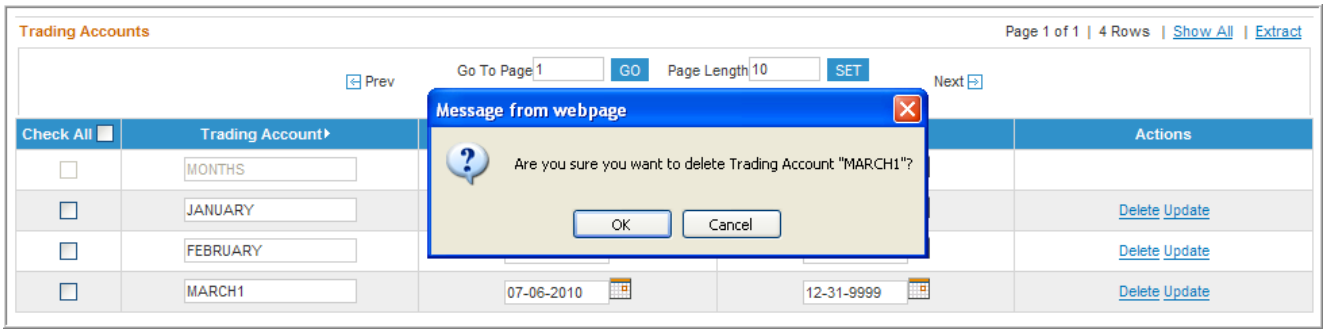
The User can perform the following with respect to Trading Accounts:

- **Delete** Trading Account
- **Update** Trading Account Number and/or Effective/ Expiration Dates
- **Mass Update** Trading Account Effective and/or Expiration Dates

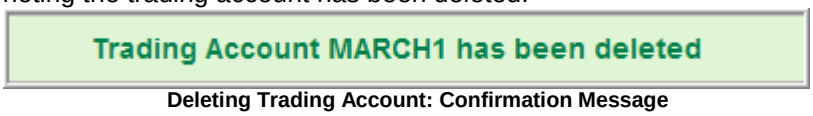


Modifying Trading Account: Action Items

1. **Delete Trading Account**
   a. Identify the appropriate row containing the trading account to be deleted. Select the **Delete** hyperlink in the Actions column for that row.
   b. A Message Box will display asking the User to confirm the deletion of the trading account. Select **OK** to continue, or select **Cancel**.

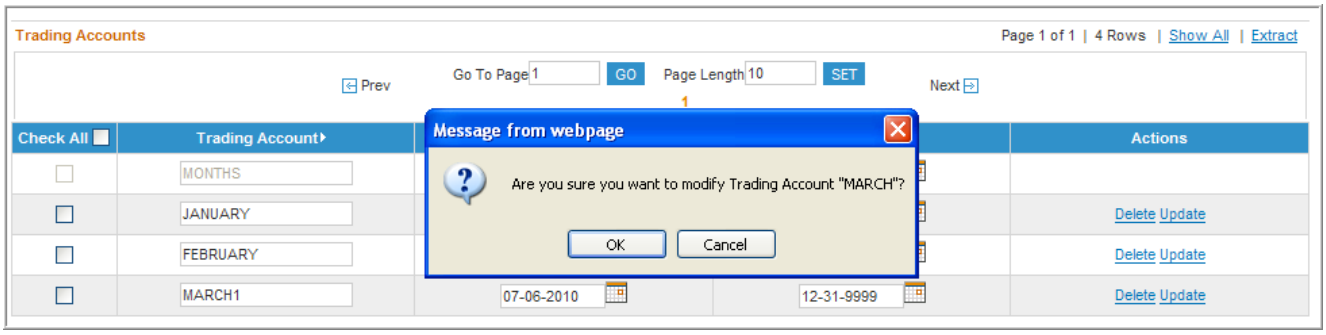


   c. If **OK** was selected then a confirmation message will display above the Account Details section noting the trading account has been deleted.



Deleting Trading Account: Confirmation Message

2. **Update Trading Account Number and/or Effective/Expiration Dates**
   a. Identify the appropriate row containing the trading account to be updated.
   b. The following may be updated: Trading Account Number, Effective Date and/or Expiration Date.
      - If an existing **Trading Account Number** needs to be updated, simply type over what is listed in the textbox.
      - If the **Effective Date** needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the effective date. Note that the effective date must be equal to or greater than the main account's effective date.
      - If the **Expiration Date** needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the expiration date. Note that the expiration date must be equal to or less than the main account's expiration date.
   c. Click on the **Update** hyperlink in the Actions column for that row.
   d. A Message Box will display asking the User to confirm the modification(s).Select **OK** to continue, or select **Cancel**.



   e. If **OK** was selected then a confirmation message will display above the Account Details section noting the trading account has been updated.

Trading Account MARCH has been updated.

Modifying Trading Account: Confirmation Message

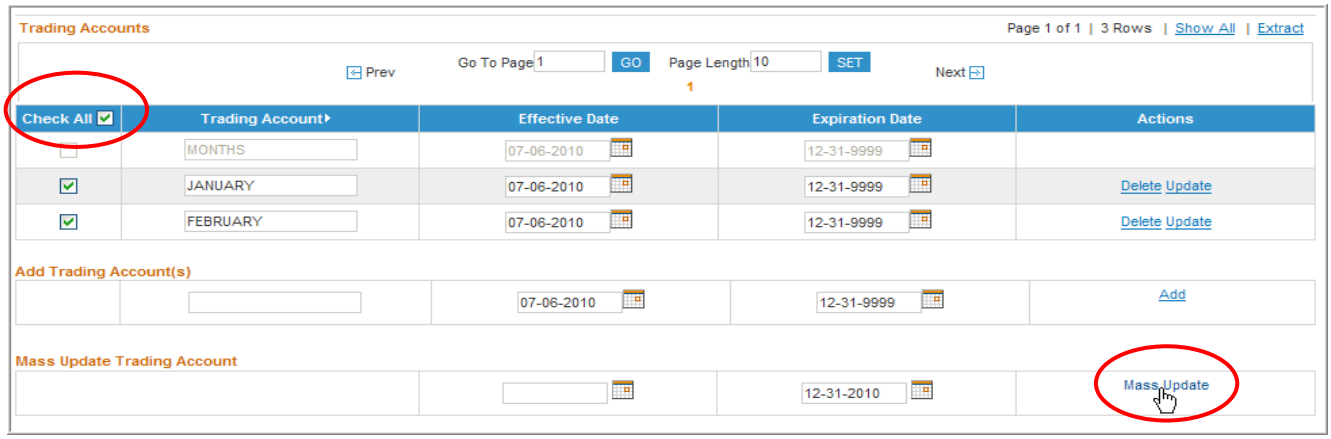
3. **Mass Update Trading Account Effective and/or Expiration Dates**

   This feature allows the Effective Date and/or Expiration Date to be updated on multiple Trading Accounts simultaneously.

   a. The User can either designate individual Trading Accounts to be updated by selecting the check box in front of each account, or the User may designate all the Trading Accounts displayed on the screen to be updated by selecting the **Check All** box.
      - If the Trading Account list is paginated, the user must first select the **Show All** hyperlink at the top right of the Trading Accounts section in order to update the entire list of accounts at once using the Check All feature. Otherwise, only the Trading Accounts displayed on the current page will be updated.

   b. Enter the new **Effective Date** and/or **Expiration Date** in the **Mass Update Trading Account** section. If updating only one of these dates, leave the other date field blank.

   c. Select the **Mass Update** hyperlink in the Actions column.



   d. A confirmation message will display.

Mass Update of trading account(s) is complete

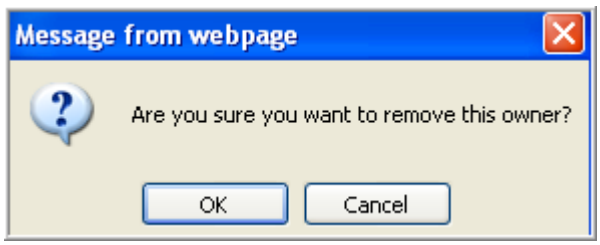
C. Modifying Account Owners

When viewing an existing Main Account, the associated account owner(s) are displayed under the **Account Owners** section. Note: The User may use the **Across Exchange Mode** to edit account owner(s) at multiple Exchanges simultaneously, as long as the Main Account(s) exist at each selected Exchange.

The User can perform the following with respect to Account Owner:

- **Delete** Account Owner
- **Update** Account Owner(s) Effective and/or Expiration Dates
- **View Membership** will redirect the User to the Membership screen to view the account owner's membership status.

1. **Delete Account Owner**
   a. Identify the appropriate row containing the account owner to be deleted. Select the **Delete** hyperlink in the Actions column for that row in order to the delete that account owner.
   b. A Message Box will display asking the User to confirm the deletion of the owner. Select **OK** to continue, or select **Cancel**.

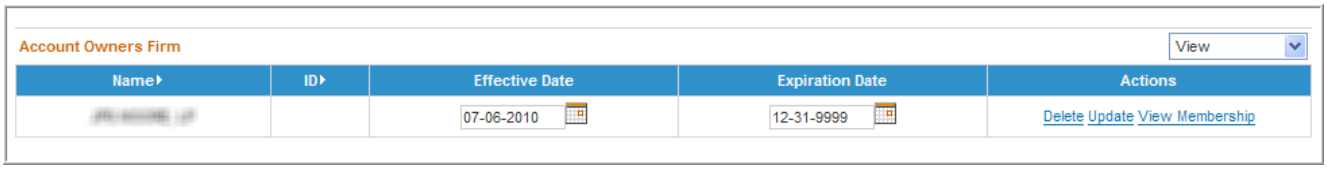


   c. If **OK** was selected then a confirmation message will display above the Account Details section confirming the account owner has been deleted.

Deleting Account Owner: Confirmation Message

NOTE: **If you are deleting an individual member account owner, the system will also automatically delete the controller record for that member.**

2. **Update Account Owner(s) Effective and/or Expiration Dates**
   a. Identify the appropriate row containing the account owner to be updated.
      - If the **Effective Date or Expiration Date** needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the effective date.
        - *Effective Date* must be equal to or greater than the Main Account's effective date.
        - *Expiration Date* must be equal to or less than the Main Account's expiration date.
   b. Select the **Update** hyperlink in the Actions column for that row to apply the updates to the Owners' Effective and/or Expiration Dates.



   c. A Message Box will display asking the User to confirm the updates. Select **OK** to continue, or select **Cancel**.
   d. If **OK** was selected then a confirmation message will display above the Account Details section confirming the account owner has been updated.

NOTE: **If you are updating an individual member account owner, the system will automatically update the controller record for that member.**

3. **View Membership**
   a. Identify the appropriate row containing the account owner to view. Select the **View Membership** hyperlink in the Actions column for that row in order to the view that account owner's membership information.

b. The User will be redirected to the Membership Information screen. To return back to the Account Maintenance screen click on the Main Account ID line item within the Account Owners section.

D. Modifying Account Controllers

When viewing an existing Main Account, the associated account controller(s) are displayed under the **Controllers** section. Note: The User may use the **Across Exchange Mode** to edit controller(s) at multiple Exchanges simultaneously, as long as the Main Account(s) exist at each selected Exchange.

The User can perform the following with respect to Account Controller:

- **Delete** Account Controller
- **Update** Account Controller(s) Effective and/or Expiration Dates

1. Delete Account Controller

a. Identify the appropriate row containing the account controller to be deleted, select the **Delete** hyperlink in the Actions column for that row in order to delete that account controller.

b. A Message Box will display asking the User to confirm the deletion of the controller. Select **OK** to continue, or select **Cancel**.

c. If **OK** was selected then a confirmation message will display above the Account Details section confirming the account controller has been deleted.

Deleting Account Controller: Confirmation Message

NOTE: **In order to delete a controller who is also an account owner, that member's account owner record must be deleted.**

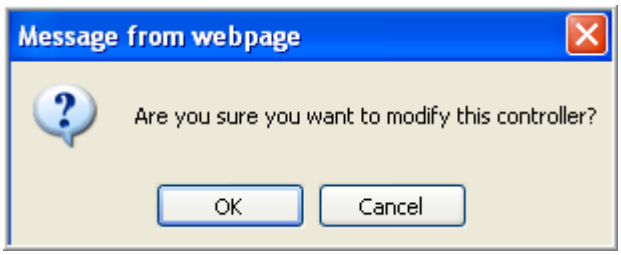
2. Update Account Controller(s) Effective and/or Expiration Dates

a. Identify the appropriate row containing the controller to be updated.

- If the **Effective Date or Expiration Date** needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the effective date.
  - *Effective Date* must be equal to or greater than the Main Account's effective date.
  - *Expiration Date* must be equal to or less than the Main Account's expiration date.

b. Select the **Update** hyperlink in the Actions column for that row to apply the updates to the Controller's' Effective and/or Expiration Dates.

c. A Message Box will display asking the User to confirm the updates. Select **OK** to continue, or select **Cancel**.



e. If **OK** was selected then a confirmation message will display above the Account Details section confirming the account controller has been updated.

Updating Account Owner: Confirmation Message

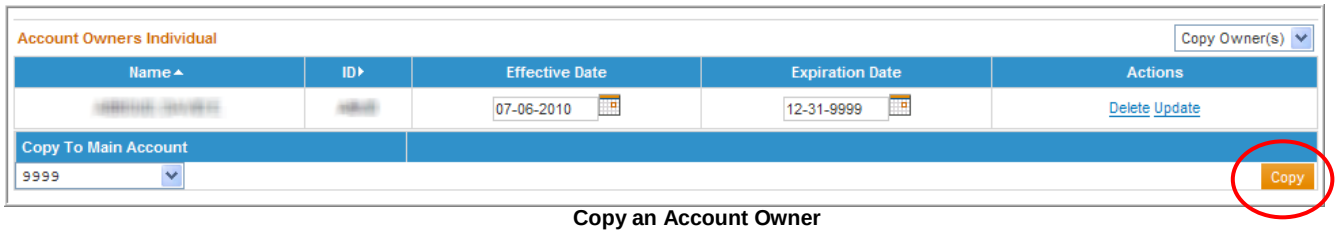
NOTE: **If you are updating an individual member account controller who is also listed as an account owner, the system will automatically update the owner record for that member.**

E. Copy Owners/Controllers

This feature will copy all active owners/controllers from one registered main account to another within the same Exchange; these features are available only in the **Single Exchange Mode**.

To copy owners/controllers the User will need to do the following:

1. **Copying Owners**
   a. From the section labeled Account Owners, select **Copy Owner(s)** from the drop-down list above the Actions column. The **Copy To Main Account** field will display.



Copy an Account Owner

   b. Select the registered Main Account from the drop-down list to copy the Owner(s) to.
   c. After selecting an account, click **Copy**. A confirmation message will display:

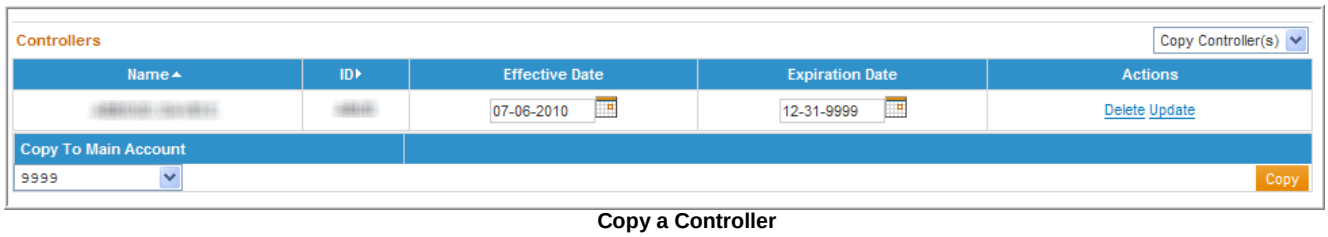
NOTE: **When an individual is copied as an owner to another account, they are also automatically added to that account as a controller.**

2. **Copying Controllers**
   Note: Only copy individuals can be controllers.

The following rules apply when copying account controllers:

- If the ***Account Type equals Firm***, then the controllers will be copied to the designated Main Account.
- If the ***Account Type equals Individual***, ***Joint*** or ***Non-Member*** and the controller to be copied is **not** an owner, then the controller will be copied to the designated Main Account.
- If the ***Account Type equals Individual, Joint or Non-Member*** and ***one of the controllers to be copied is already an owner***, then that specific individual(s) will **not** get copied over to the new designated account. *Only controllers where there is no owner relationship will be eligible for copy.*

   a. From the section labeled Controllers, select **Copy Controller(s)** from the drop-down list above the Actions column. The **Copy To Main Account** field will display.



Copy a Controller

   b. Select the registered Main Account from the drop-down list to copy the Controller(s) to.

c. After selecting an account, click **Copy**. A confirmation message will display.

5.6 Account Maintenance – Search

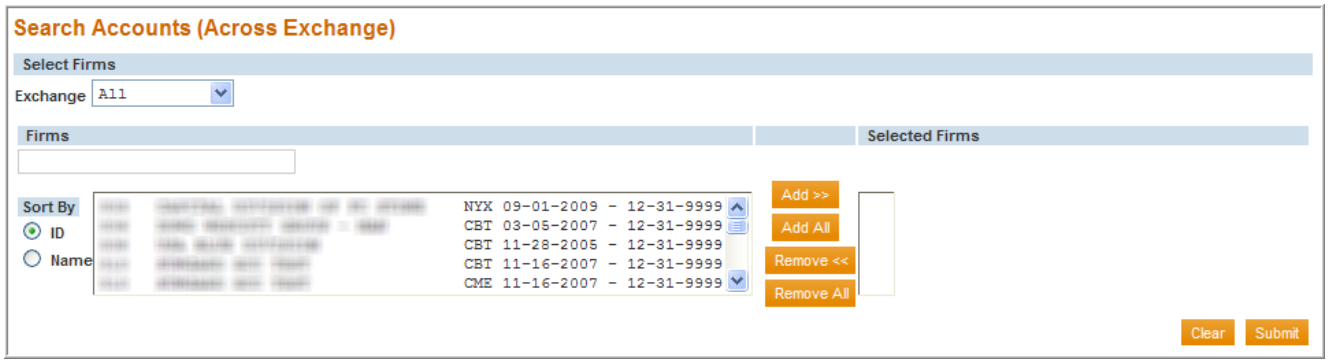
The **Account Maintenance – Search** screen is a read-only screen that allows the User to view all accounts (regardless of exchange) and the respective details, in one centralized place.

Also on this screen, the User can view the **'Max Last Trade Date'** for the Main Accounts viewed, which identifies the most recent Trade Date for which any of the underlying registered Trading Accounts had trading activity.

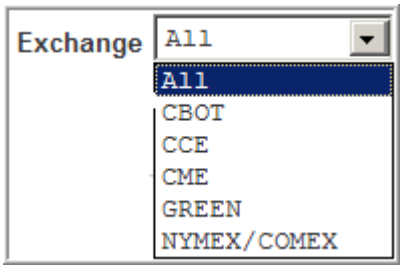
- **Searches can be done by:**
  - One or More Main Accounts ***OR***
  - Single Trading Account ***OR***
  - One or More Account Owners

NOTE: The User cannot refine the search to have a combination of Main, Trade and Account Owner; the OR condition will only allow selection of ONE of the options noted above.

Account Search

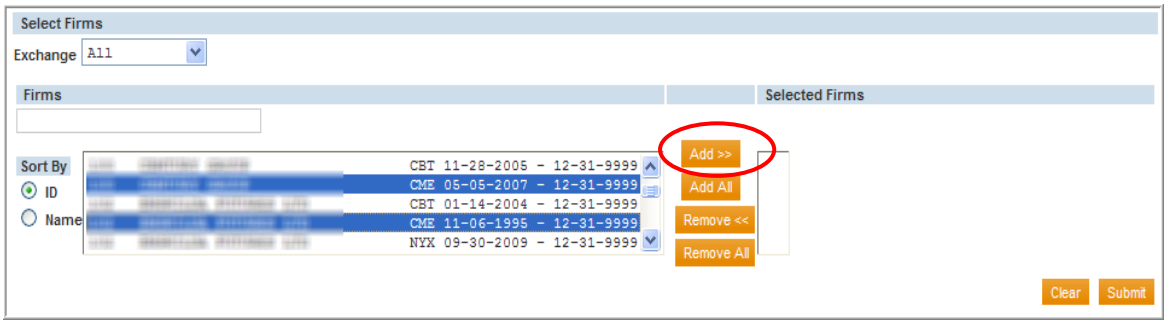


a. Select the **Exchange**(s) to search; this will filter the firm list below to contain only firms associated with the Exchange(s) selected.

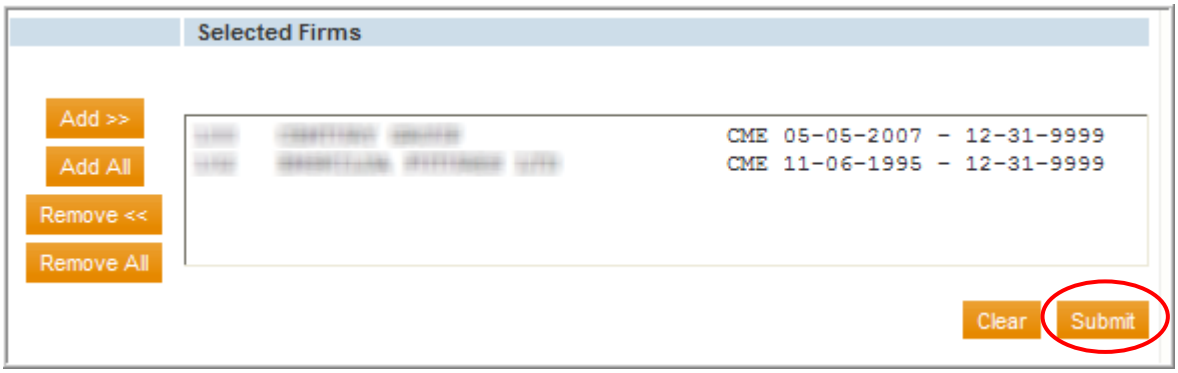


b. From the **Firms** list, select the firm(s) to search. The Firm list will default to ALL firms to which the User has security access. Note: Depending on the Exchange(s) selected in the previous step, a firm that exists at more than one Exchange may appear multiple times in the Firm list. The Exchange designation appears after the firm name, prior to the firm's date range; the User should be sure to consider this when selecting firms from the list.

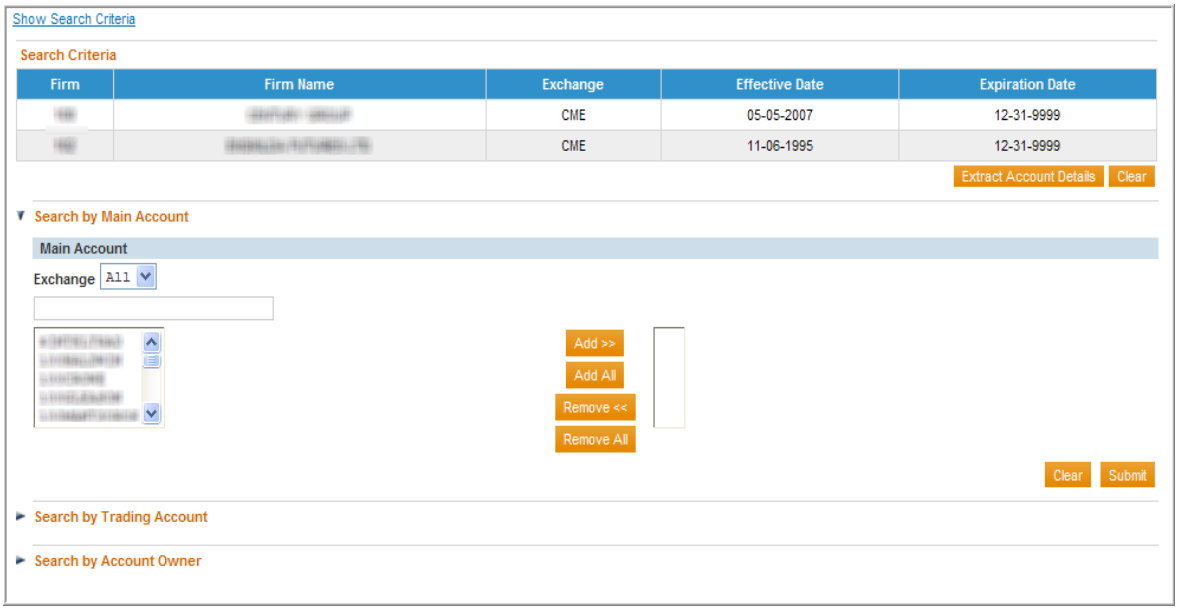
To select multiple firms, hold the Ctrl key and click on each firm name.



c. After selecting the firm(s), click the **Add** button. The designated firms will be added to the 'Selected Firms' section.



d. Click on the **Submit** button. The search criteria results will display the firm(s) and Exchange(s) selected.



e. If the User would like to obtain an extract of all of the registered account details for the selected firms, click the **Extract Account Details** button below the Search Criteria section.

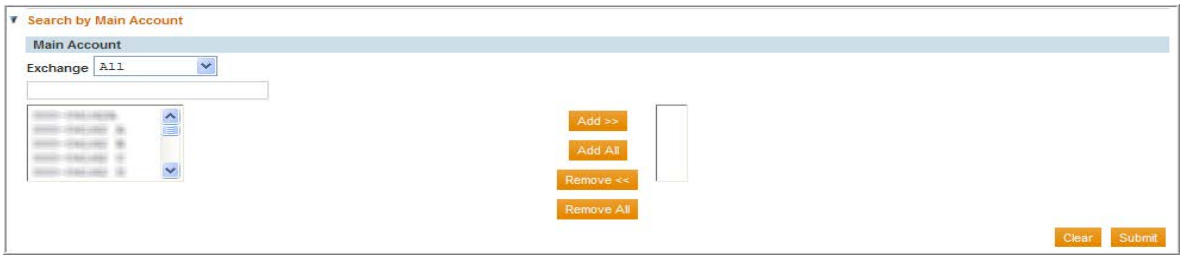
The User can further search within the selected Exchange(s)/Firm(s) by clicking the link for one of the following options:

- Search by **Main Account** (default); or
- Search by Trading Account; or
- Search by Account Owner

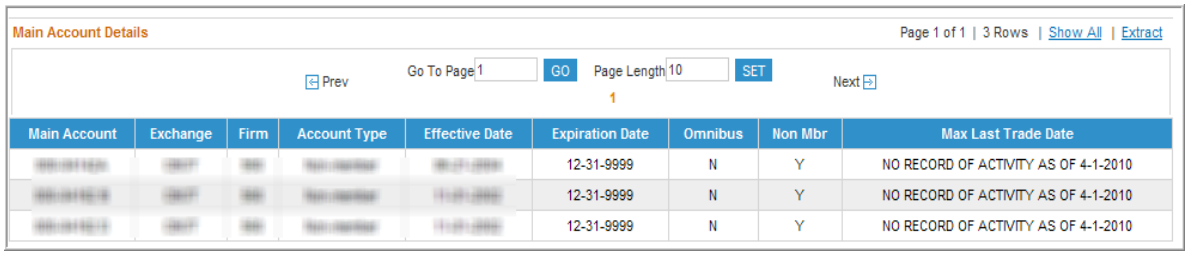
1. **Search by Main Account**

a. From the Main Account list, select the **Main Account(s)** to view.

To select multiple accounts, hold the Ctrl key and click on each account number.



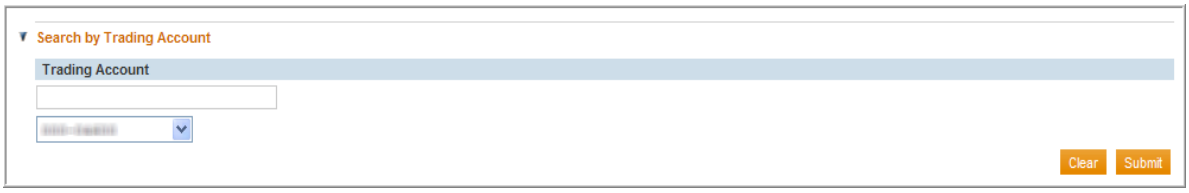
b. After selecting the Main Account(s), click **Submit**. The Main Accounts details will display.



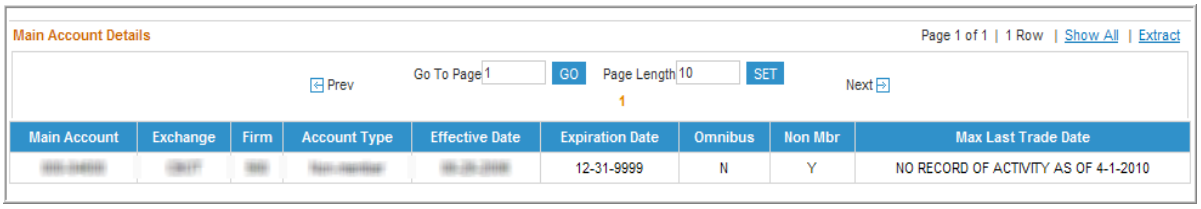
Search by Main Account

2. **Search by Trading Account**

a. From the Trading Account list, select the **Trading Account** to view.



b. After selecting the Trading Account, click **Submit**. The associated Main Accounts details will display for the Main Account under which the Trading Account is registered.

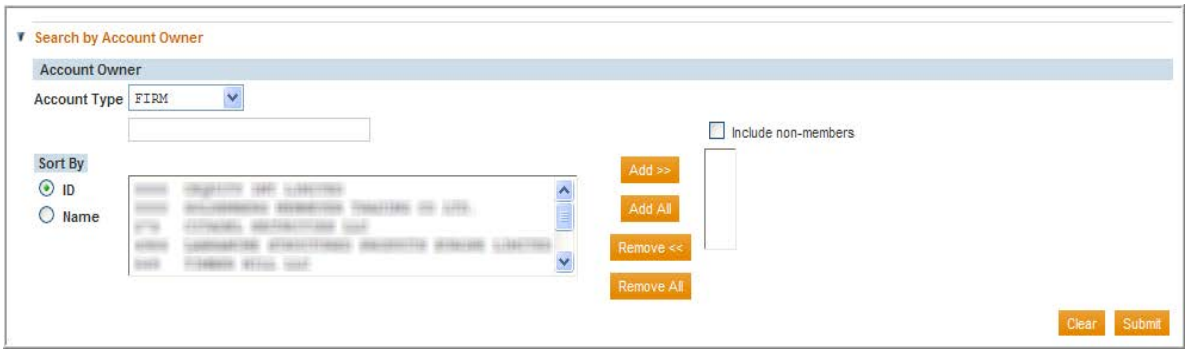


Search by Trading Account

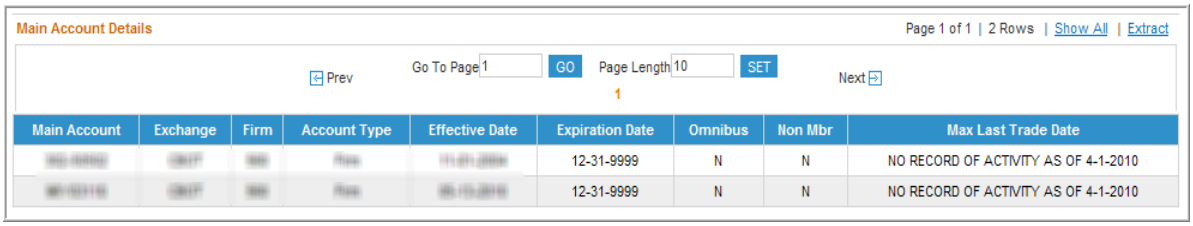
3. **Search by Account Owner**

a. Select the Account Type: **Firm** (default) or **Individual**.

b. From the **Account Owner** list, select the Account Owner(s) for which to bring back results and then click the **Add** button. To include non-member accounts in the search results, check the 'Include non-members' checkbox.



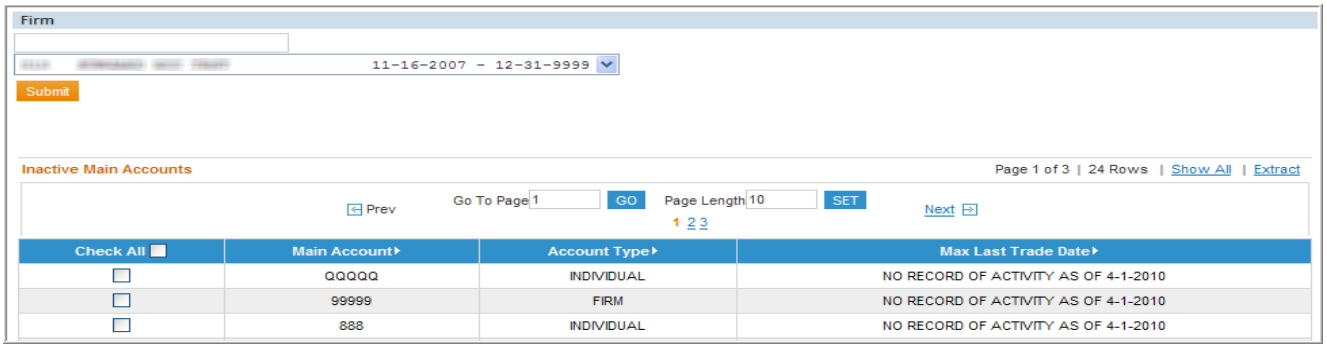
c. After selecting the Account Owner(s), click **Submit**. The Main Accounts details will display for all Main Accounts associated to the selected Account Owner(s).



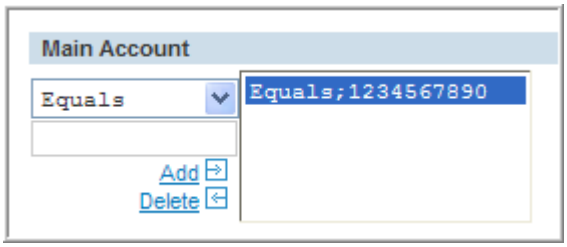
Search by Account Owners

5.7 Account Maintenance – Mass Expire

The **Account Maintenance – Mass Expire** screen allows the User to expire multiple accounts at once at the Main Account level. Main Accounts available to be expired will only be those where all of the associated trading accounts have not traded for the past four months or more. A 'Max Last Trade Date' will be displayed on the screen for reference, which identifies the most recent Trade Date for which any of the underlying registered Trading Accounts had trading activity.

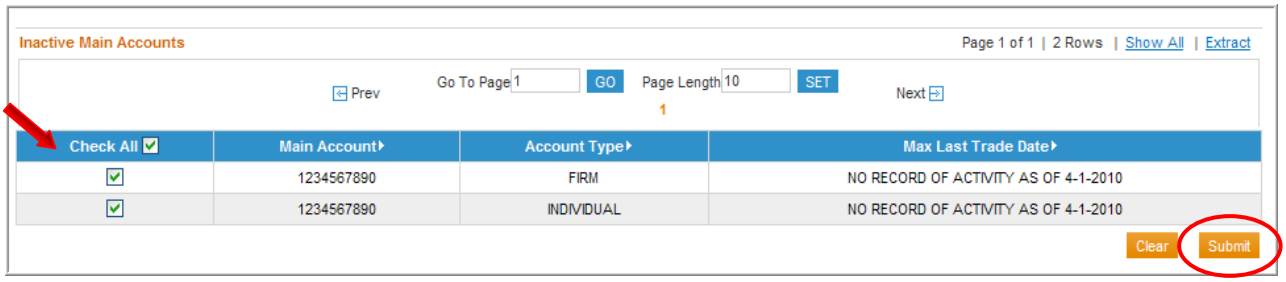


1. Within the Mass Expire screen, select a **Firm**.
2. If desired, filter the results by **Main Account**. The User can search for Main Account(s) that 'Begins with', 'Contains', 'Ends with' or 'Equals' a string of characters entered into the textbox.

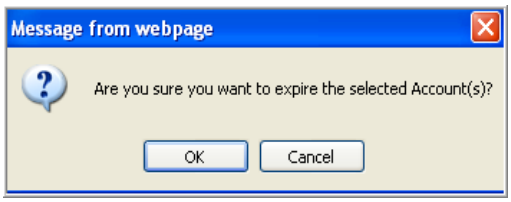


3. Click **Submit**. The Inactive Main Accounts window will display listing all inactive accounts matching the criteria entered.
4. Click the **checkbox** of the Main Account(s) to expire or select **Check All** to expire all of the accounts *displayed on the current page*.

   Note: The *Check All* feature will only select those accounts displayed on the current page. If there is more than one page of results, the user can first select the **Show All** link in order to display all of the accounts on a single page.
5. After selecting the account(s) to expire, click the **Submit** button.



6. To confirm the expire request, click the **OK** button.



   Note: The accounts will expire as of the prior business date.

7. A confirmation message will display confirming the selected account(s) have been expired.

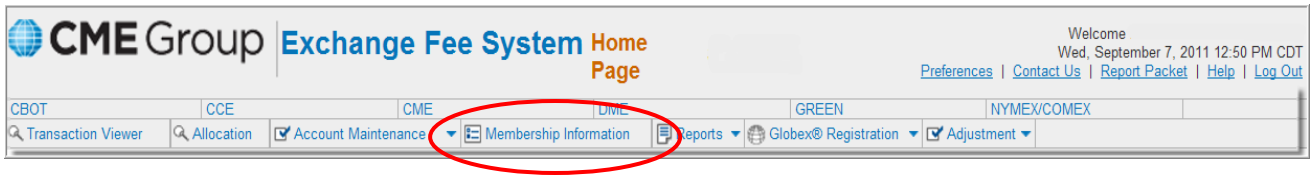
NOTE: **The expired accounts will no longer display in the Inactive Main Accounts list. To view expired accounts, navigate to the Account Maintenance – View screen and complete a search using the 'Show Expired' checkbox.**

6. Membership Information

The **Membership Information** screen displays membership information for individual members, member firms and incentive program participants. This information is interpreted from the CME Group membership database. Note this screen is available for CBT, CME, DME and NYMEX/COMEX.

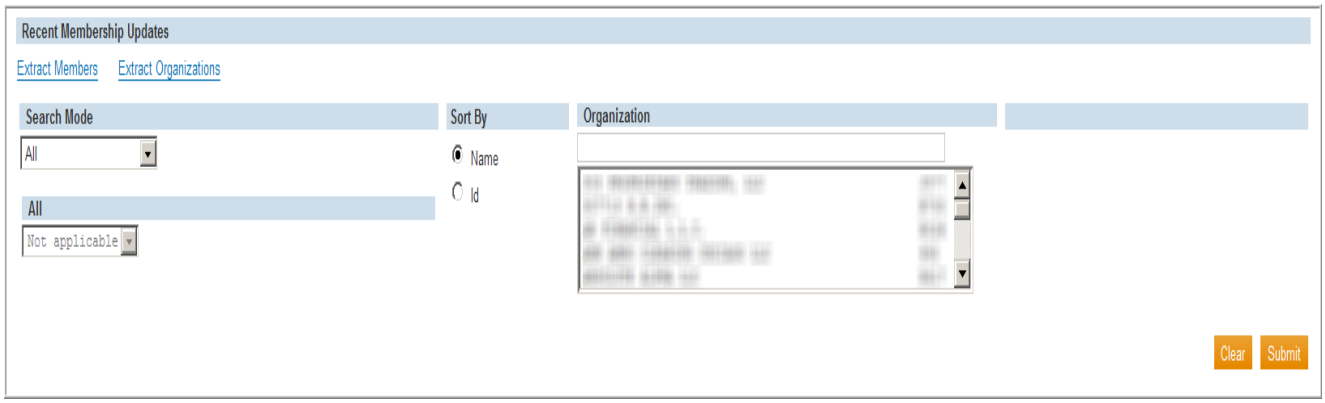
6.1 Accessing Membership Information

To access **Membership Information** select the option from the navigation menu.



6.2 Recent Membership Updates

For an extract of recent membership updates (within the past 30 days), click on either the **Extract Members** or **Extract Organizations** hyperlink. The Extract Members link will provide an extract of recent updates for Individual Members, while the Extract Organizations link will provide an extract of recent updates for Member Firms and Incentive Program Participants. The extract provides the current and historical status for any individual/firm whose status changed within the last 30 days.



6.3 Search Mode by Exchange

To assist the User in searching for membership information, there are search categories provided, as described below. There is also a secondary filter available to streamline the search process. For example, if the User selects *Incentive Programs* a secondary filter will be available with the various incentive program categories.

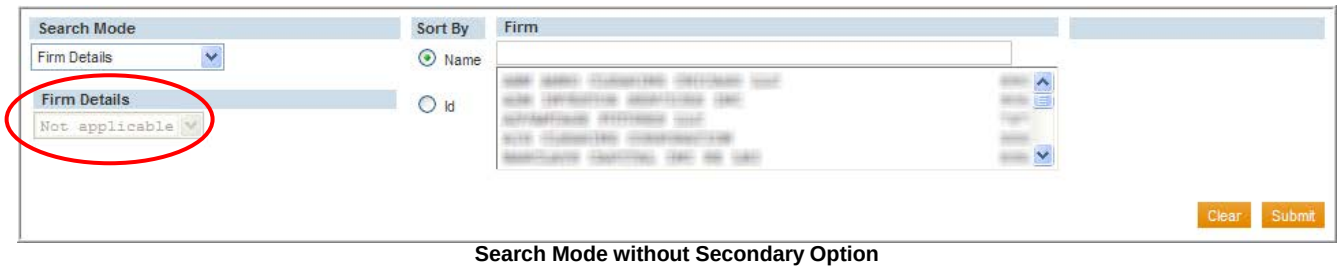
Exchange Membership		
Exchange	***Search Mode***	***Secondary Search Filter***
CBOT	Firm Details	Not applicable
	Member Details	Not applicable
	Organization Details	Not applicable
	Incentive Programs	Asian Incentive Program (AIP) International Incentive Program (IIP) Latin American Commercial Incentive Program (LACIP) Latin American Fund Manager Incentive Program (FMIP) South American Incentive Program (SAIP) [also known as Latin American Bank Incentive Program (LABIP)]
CME	Firm Details	Not applicable

	Member Details	Not applicable
	Incentive Programs	eFX Bank Incentive Program Asian Incentive Program (AIP) CTA Hedge Fund Incentive Program International Incentive Program (IIP) Latin American Commercial Incentive Program (LACIP) Latin American Fund Manager Incentive Program (FMIP) South American Incentive Program (SAIP) [also known as Latin American Bank Incentive Program (LABIP)]
	Corporate Memberships	Hedge Fund Group 106.H Trading Member Firm 106.I Affiliate Member Firm 106.J Equity Member Firm 106.N CME GEM 106.R ECM – Holding Member 106.R ECM – Volume Incentive Program 106.S Family of Funds Member Firm
DME	Firm Details	Not applicable
NYMEX/COMEX	Firm Details	Not applicable
	Member Details	Not applicable
	Organization Details	Not applicable
	Incentive Programs	Asian Incentive Program (AIP) International Incentive Program (IIP) Latin American Commercial Incentive Program (LACIP) Latin American Fund Manager Incentive Program (FMIP) South American Incentive Program (SAIP) [also known as Latin American Bank Incentive Program (LABIP)]

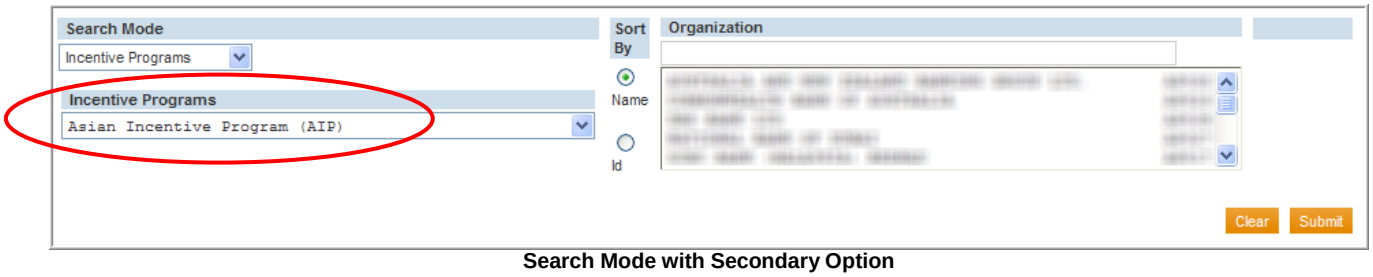
6.4 Searching for Membership Information

To search for Membership Information the User must perform the following steps:

- Select a **Search Mode** from drop-down menu.
- To filter the search further, select the secondary option from the drop-down menu, where applicable.
- Once the filters have been selected, the User may then scroll through the resulting list, or type in the first few characters of the name to use the auto-complete function to navigate the list.
- Click the appropriate selection in the list and then click the **Submit** button to retrieve the details.



Search Mode without Secondary Option



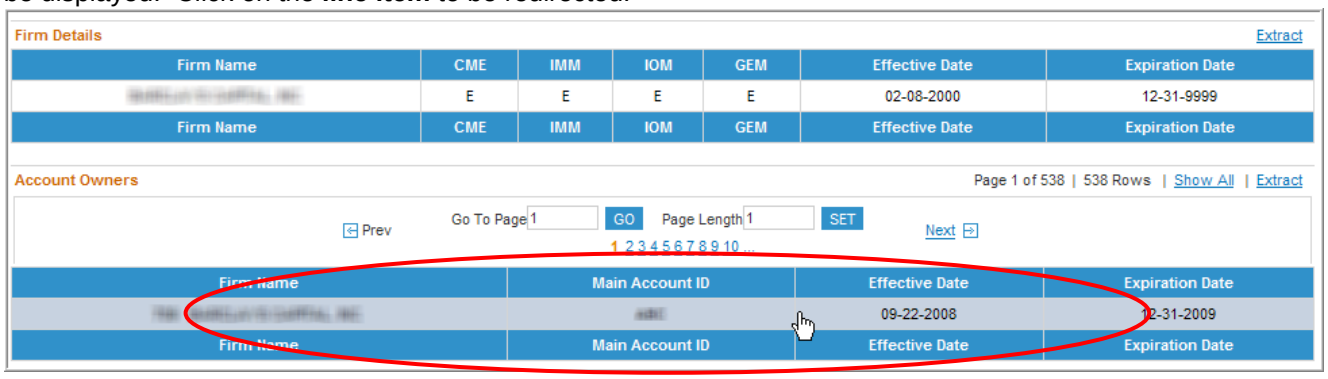
Search Mode with Secondary Option

6.5 Search Results

The search results will be displayed below the Membership Information Search form with the following information:

- The membership status in each of the membership divisions;
- The effective and expiration dates associated with each change in membership status;
- The Account Owners section, reflecting all main accounts for which the selected entity or individual is registered as the account owner, with the associated effective and expiration dates; and
- *For individuals only,* the Account Controllers section, reflecting all main accounts for which the selected individual is registered as the account controller, with the associated effective and expiration dates.

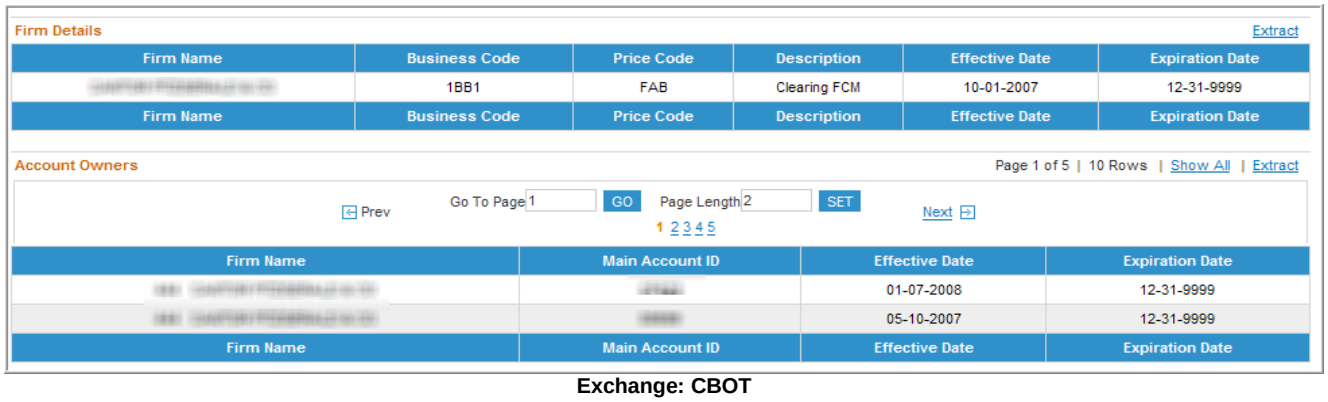
There is also a redirect function that allows the User to select a specific Main Account within the search results and be redirected to the account maintenance screen, where the respective account details will automatically be displayed. Click on the **line item** to be redirected.



Following are examples of the search results for the various search modes:

Search Mode: **Firm Details** - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Status (details vary by Exchange), Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.



Exchange: CBOT

Firm Details Extract

Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date
[illegible]	E	E	E	E	02-08-2000	12-31-9999
Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date

Account Owners Page 1 of 180 | 538 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 3 SET Next

1 2 3 4 5 6 7 8 9 10 ...

Firm Name	Main Account ID	Effective Date	Expiration Date
[illegible]	[illegible]	09-22-2008	12-31-2009
[illegible]	[illegible]	04-28-2010	12-31-9999
[illegible]	[illegible]	04-26-2010	12-31-9999
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CME

Firm Details Extract

Firm Name	Member Type	Effective Date	Expiration Date
[illegible]	DME CLEARING MEMBER	06-01-2007	12-31-9999
Firm Name	Member Type	Effective Date	Expiration Date

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: DME

Firm Details Extract

Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date
[illegible]	E	E	E	02-27-2009	12-31-9999
Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date

Account Owners Page 1 of 1 | 2 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 2 SET Next

1

Firm Name	Main Account ID	Effective Date	Expiration Date
[illegible]	[illegible]	11-01-2009	12-31-9999
[illegible]	[illegible]	10-01-2009	12-31-9999
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: NYMEX/COMEX

Search Mode: **Member Details** - the search results will return the following information:

- **Broker Details**: Broker Name, Broker Symbol, Effective and Expiration Dates, Membership Details (details vary by Exchange), Qualifying Firm ID and Name, Badge Firm ID and Name.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.
- **Account Controllers**: Firm Name, Main Account ID, Effective and Expiration Dates.

Broker Details

Page 1 of 1 | 2 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 10 SET Next

1

Broker Name	Broker Symbol	Seat	Business Code	Effective Date	Expiration Date	FULL	AM	GIM	COM	IDEM	Qualifying Firm
[illegible]	[illegible]	CMACE	IMC	10-01-2007	12-07-2008	HOLDS CMACE PERMIT	N/A	N/A	N/A	N/A	[illegible]
[illegible]		CMACE	IMC	12-08-2008	12-31-9999	HOLDS CMACE PERMIT	N/A	N/A	N/A	N/A	

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Account Controllers

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CBOT

Broker Details

Page 1 of 1 | 2 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 10 SET Next

1

Broker Name	Broker Symbol	Effective Date	Expiration Date	CME	IMM	IOM	GEM	Qualifying FirmId	Qualifying Firm Name	Badge FirmId	Badge Firm Name
[illegible]		04-29-2004	01-18-2005	F	F	F	F				
[illegible]		01-19-2005	12-31-9999	F	F	F	F				
Broker Name	Broker Symbol	Effective Date	Expiration Date	CME	IMM	IOM	GEM	Qualifying FirmId	Qualifying Firm Name	Badge FirmId	Badge Firm Name

Restriction Type Edit

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Account Controllers

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CME

Broker Details Page 1 of 1 | 1 Row | Show All | Extract

Prev Go To Page 1 GO Page Length 10 SET Next

1

Broker Name	Seat	Effective Date	Expiration Date	NYMEX	COMEX	COMEX Option	Qualifying FirmId	Qualifying Firm Name	Badge FirmId	Bad
[illegible]	COMEX	02-02-2009	12-31-9999	X	E	E				

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Account Controllers

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: NYMEX/COMEX

Search Mode: **Incentive Programs** - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Details (details vary by Exchange), Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.

Firm Details Extract

Firm Name	Business Code	Price Code	Description	Effective Date	Expiration Date
[illegible]	IIP	NMO	Non-Member / IIP	06-04-2010	12-31-9999
Firm Name	Business Code	Price Code	Description	Effective Date	Expiration Date

Account Owners Page 1 of 1 | 1 Row | Show All | Extract

Prev Go To Page 1 GO Page Length 10 SET Next

1

Firm Name	Main Account ID	Effective Date	Expiration Date
[illegible]	[illegible]	06-04-2010	12-31-9999
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CBOT Incentive Program: International Incentive Program (IIP)

Firm Details Extract

Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date
[illegible]	C	C	C	C	02-01-2009	12-31-9999
Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CME Incentive Program: International Incentive Program (IIP)

Firm Details — Extract

Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date
[illegible]	C	C	C	02-01-2009	12-31-9999
Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: NYMEX/COMEX Incentive Program: International Incentive Program (IIP)

Search mode: **Organization Details** - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Details, Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.

Firm Details — Extract

Firm Name	Business Code	Price Code	Description	Effective Date	Expiration Date
[illegible]	3AB1	FAD	Trading Member Firm (Full)	10-30-2007	12-31-9999
Firm Name	Business Code	Price Code	Description	Effective Date	Expiration Date

Account Owners — Page 1 of 8 | 8 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 1 SET Next

1 2 3 4 5 6 7 8

Firm Name	Main Account ID	Effective Date	Expiration Date
[illegible]	[illegible]	05-16-2008	12-31-9999
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CBOT

Firm Details — Extract

Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date
[illegible]	E	C	C	04-30-2007	12-31-9999
Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: NYMEX/COMEX

Search mode: **Corporate Membership** - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Details, Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates

Firm Details — Extract

Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date
[illegible]	X	E	E	E	01-24-2005	12-31-9999
Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date

Account Owners — Page 1 of 16 | 16 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 1 SET Next

1 2 3 4 5 6 7 8 9 10 ...

Firm Name	Main Account ID	Effective Date	Expiration Date
[illegible]	[illegible]	03-01-2009	12-31-9999
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CME Corporate Membership: 106.N.

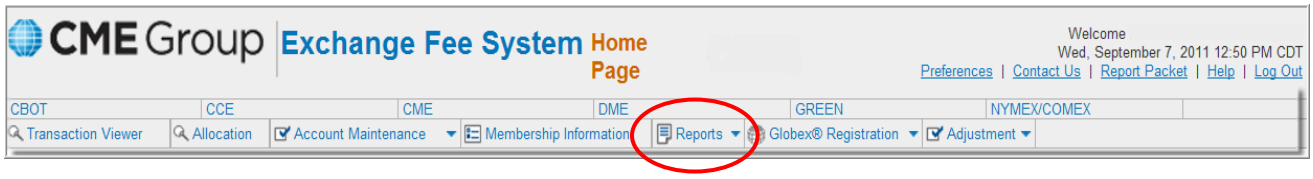
7. Reports

Reports offer both basic and advanced search options to generate, customize, and retrieve reports displaying fees and fee discount programs. Other reports are also available to assist in determining how fees were applied and to whom the fees will be billed.

Data available for the reports is the current month to date, plus the three prior months. All reports are viewable in PDF format and may also be extracted into any machine readable format. The exception to this is the Condensed Trade Detail Extract, which is available for extraction only.

7.1 Accessing Reports

To access **Reports** select the option from the navigation menu.



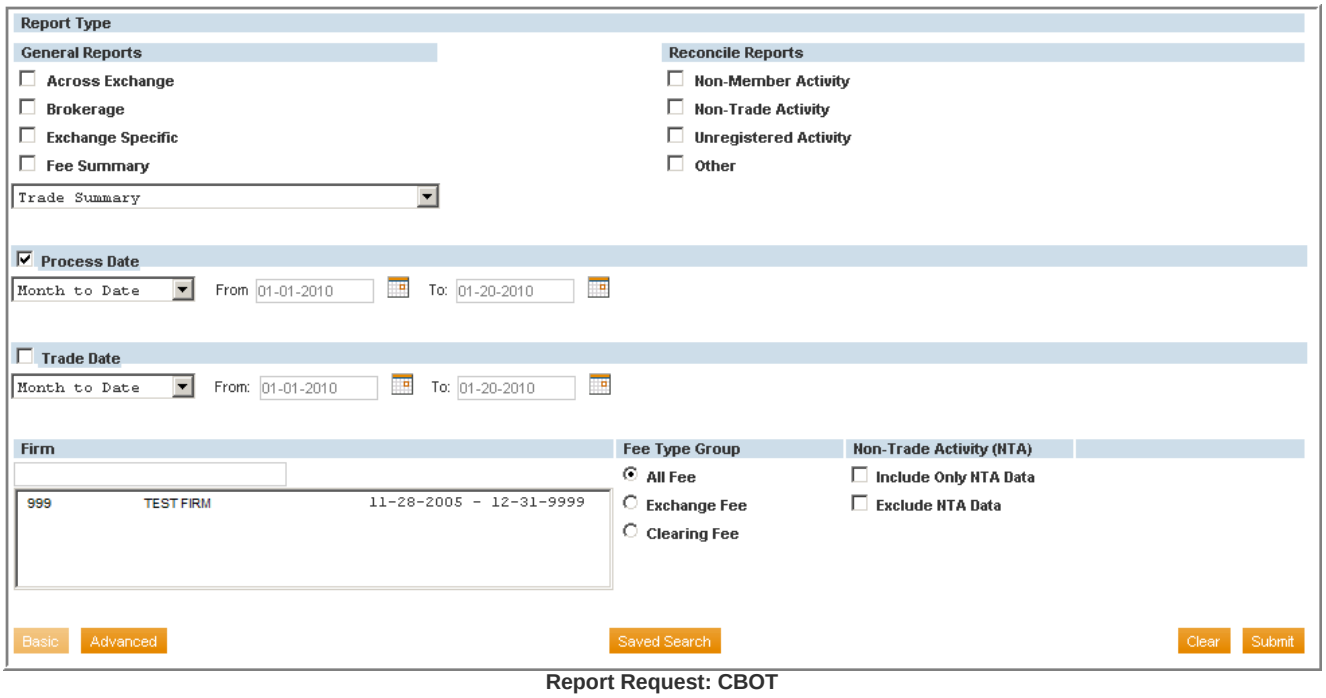
7.2 Report Request

When Reports is selected, two sub-menu options appear.

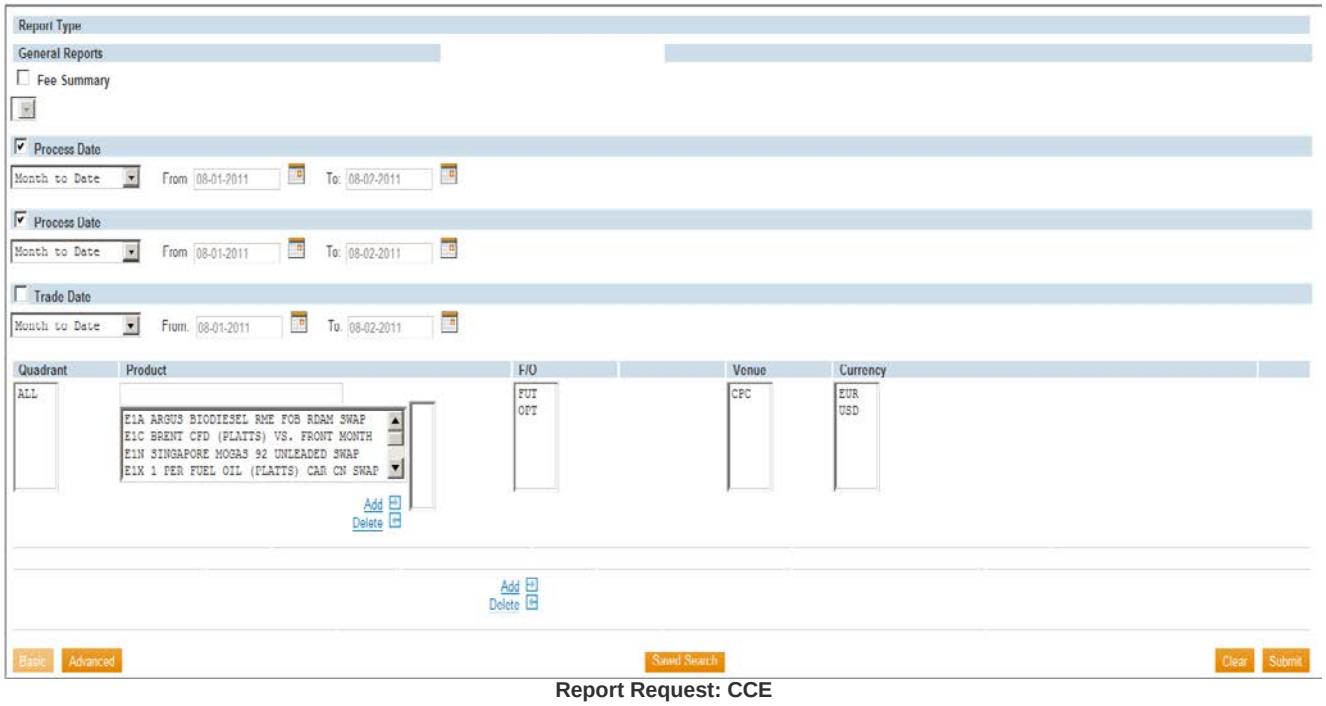
- **Request** – Select this option to request a report.
- **Viewing** – Select this option to view, extract, or delete a report.

To request a report, select the **Request** option from the Reports sub-menu. When this option is chosen, the Report Request page appears.

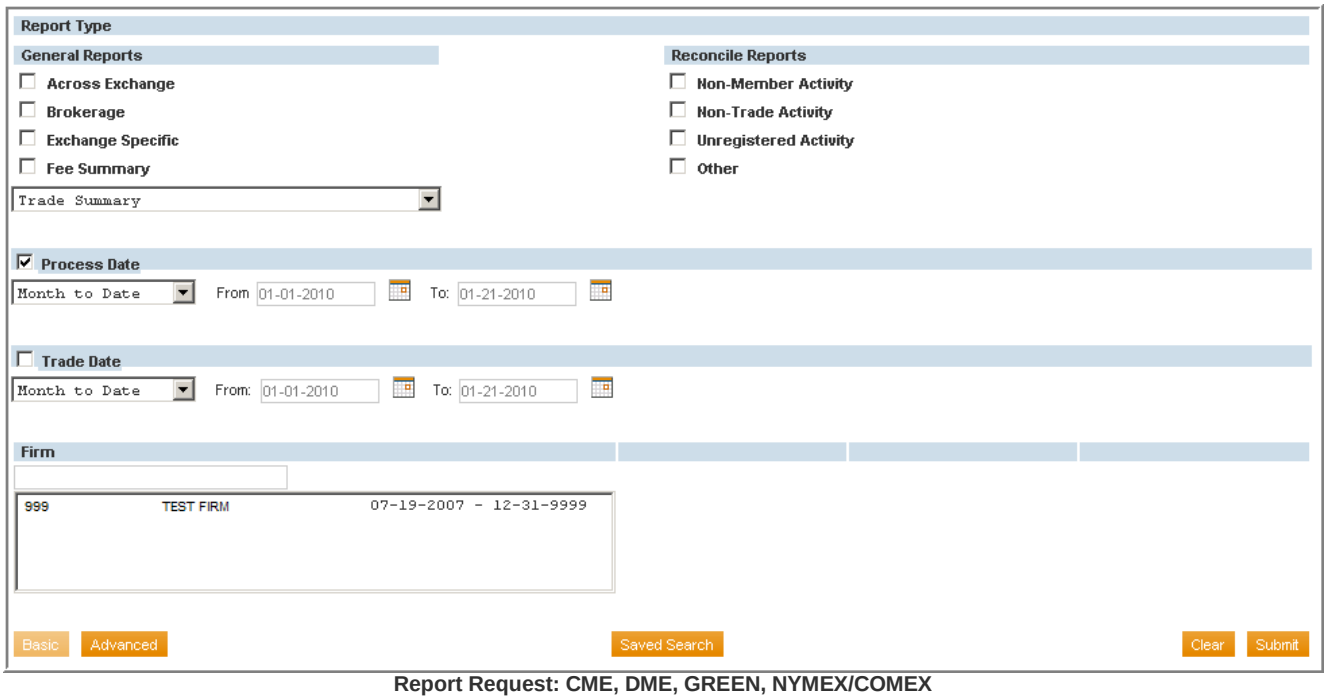
To request a **Report,** click on the report name within the report drop-down list, or select the checkbox next the appropriate Report Type filter. When a Report Type filter is selected, the report drop-down list will immediately update to reflect only the reports within that Report Type.



Report Request: CBOT



Report Request: CCE



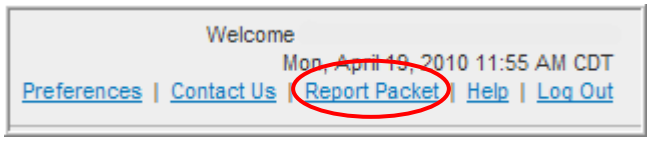
Report Request: CME, DME, GREEN, NYMEX/COMEX

7.2.1 Report Packet

The Report Packet provides an '*overview*' of the report suite available to assist in reconciling, for each product exchange:

- the various fees charged,
- the registration of accounts and operator IDs,
- the validation of membership status for firms, entities, individuals or special programs participants, and
- the discounts associated with various fee incentive programs.

To access the report packet, click the Report Packet hyperlink in the top right corner of the screen. The report packet provides detailed descriptions of all the reports available, as well as key items to note when using the various reports.



7.2.2 Report Types

There are several pre-defined reports to choose from the Report drop-down list. To limit the Report list, the User may select the **Report Type** that contains the type of report the User wants to execute. The main Report Type categories are as follows:

- General Reports
- Reconcile Reports

The main Report Types are then broken down to further assist the User in identifying the best report to utilize when reviewing the fees charged. Following are descriptions of the Report Types:

Report Type	Report Type	DESCRIPTION
General Reports	**Across Exchange**	This report type will include activity for qualified participants where discounts are applied based upon volume accumulation or fees charged across the product exchanges (e.g. CME, CBOT, NYMEX/COMEX) or where the discount program is identical across the exchanges. *NOTE: This report will only return/display data for the specific product exchange that the end user has selected.*
	Brokerage	This report type contains fees that are charged directly to the broker. This is the only area where this activity can be isolated in the fee system. Currently, this fee is only applicable to CME and CBOT product exchanges.
	Exchange Specific	This report type isolates activity to address fee discount programs unique to an individual product exchange (e.g. CME Interest Rate Volume Discount, CBOT U.S. Treasury Volume Discount, NYMEX Day Credits, etc).
	Fee Summary	Fee Summary reports provide various high-level overviews of fees applied by account, commodity and/or transaction type, specifically to facilitate reconciliation to the Clearing Member Firm's billing statement.
Reconcile Reports	**Non-Member Activity**	This report type isolates trade activity (e.g. PIT, Electronic, ClearPort) where the non-member rate was applied.
	Non-Trade Activity	This report is tailored to review and manage non-trade activity (e.g. cash settlements, exercise, assignment, delivery, future from exercise/assignment, expired option) that could be eligible for reduced rates based on the rules prescribed for each product exchange.
	Unregistered Activity	This report type focuses on activity that is not registered or recognized in the fee system that could ultimately trigger non-member rates to be applied. The main areas of registration anomalies are: Accounts and Operator IDs.
	Other	This report type will assist in validating what has been registered within the fee system and provide assistance monitoring adjustments (prior period or manual requests).

7.2.3 Report Basic Search Criteria

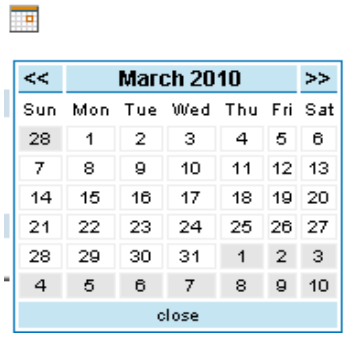
The basic report search requires the User to select a date selection by either **Process Date** or **Trade Date** by checking the box in front of one or both of the date selections. The User must also select the corresponding **Firm**, prior to submitting a report.

FIELD NAME	DESCRIPTION
Process Date	The date that the trade was processed in EFS. Refer to section below for the Date Selection choices.
Trade Date	The date that the trade was executed. Refer to section below for the Date Selection choices.
Firm	Represents the filling firm (executing firm) of the transaction.
Fee Type Group ***(CBOT Option Only)***	This is an optional field that allows a user to include All Fees, Exchange Fees or Clearing Fees.
NTA **Non-Trade Activity** ***(CBOT Option Only)***	This is an optional field that allows a User to include or exclude Non-Trade activity from Exchange Fee reports. To include or exclude this data, simply select the checkbox under the NTA column.

Basic Search Criterion - Date Selection

DATE SELECTION	DESCRIPTION
Month to Date	Month to Date automatically sets the beginning date to the first day of the current month and the end date to the prior trading day. ***NOTE:*** *Dates cannot be changed while in the Month-To-Date mode.*
Equals	Equals specifies only one day. The system default displays the prior trading day.
Between	Between specifies the beginning and end dates for a date range. ***NOTE:*** *With a "Between" search criteria, it is only possible to view a maximum of one calendar month at a time.*
Last Month	Last Month defaults the beginning and end dates to the first and last days of the previous month.
Two Months Ago	Two Months Ago defaults the beginning and end dates to two months prior to the current month.
Three Months Ago	Three Months Ago defaults the beginning and end dates to three months prior to the current month.

*When using the **Between** and **Equals** selections, specific dates must be entered either by clicking in the date fields and typing in the date in the MM-DD-YYYY format, or by choosing a date using the calendar to the right of the date field.*
Click the calendar icon to have the calendar window appear.



7.2.4 Report Advanced Search Criteria

There are dynamic advanced search features available, depending on the report selected. Not all reports will have the advanced search criterion. When advanced options are available for the selected report, the User will be able to select the **Advanced** button at the bottom left of the screen. For Advance Criteria field descriptions, refer to the *Transaction Viewer section 3.3.2* and *Appendix II - Transaction Viewer Advanced Search Field Definitions.*

The basic search selections will remain at the top of the page and must be completed as noted above; the advanced search fields will appear below the basic search fields. While the advanced search criterion available to select will vary per report; the operand selections are consistent as follows:

Advanced Search Criterion Operands

OPERATOR NAME	DESCRIPTION
Any	Allows the User to search for **all** items and is the **default selection**.
Begins With	Allows the User to enter the first few numbers and/or letters of the desired search item(s).
Contains	Allows the User to enter a string of numbers and/or letters and search for all items that contain that string.
Ends With	Allows the User to enter the last few number and/or letters of the desired search item(s).
Equals	Allows the User to enter the exact search item. “Equals” may also be used to enter multiple accounts so that it works as an “is in” option.

To Add a Search Item

- For all selections except **Any**, type the desired search item in the text field below the drop-down menu.
- Click the **Add** hyperlink to add that item to the search list.

NOTE: The Add hyperlink must be selected in order for entered text to be captured.

To Delete a Search Item

- Find the item to be deleted in the search list.
- Click to highlight the item.
- Click the **Delete** hyperlink to remove that item from the search list.

7.2.5 Submit a Report

- Once the search criterion has been defined, select the **Submit** button to generate the report.
- A confirmation message will be displayed stating that the report has been submitted.

7.3 Report Viewing

To access a report submitted, select **Viewing** from the Reports sub-menu. The Report Viewer window will appear displaying all the reports that have been submitted during the current day. The Report Viewer screen lets the User execute the following action items:

- View Report

- View Report Criteria
- Extract Report
- Delete Report

Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested
Ready	E13333	CBOT		Fee Summary	Account Summary	Fri Apr 27 13:20:12 CDT 2012
Ready	E13333	CBOT		Fee Summary	Condensed Trade Detail Extract	Fri Apr 27 13:20:24 CDT 2012
Ready	E13333	CBOT		Fee Summary	Fee Type Summary	Fri Apr 27 13:20:35 CDT 2012
Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested

Report Viewing: Report Viewer Screen

Report Viewer Column Descriptions
The columns can be sorted in ascending or descending order by clicking the sorting arrow to the right of the column header. Data can only be sorted by one column at a time.

COLUMN NAME	DESCRIPTION
Report Status	Displays the status of the reports submitted: • **Requested** – Report has been submitted for processing. • **Running** – Report is currently being processed by the Report Server. • **Ready** – Report has completed processing and is ready to be viewed. • **No Data** – There was no data matching the submitted criteria. • **Reviewed** – Report has been viewed, printed and/or extracted.
Requested By	Displays the User ID of the individual who requested the report.
Report Pos	(If applicable) This will display the order in which the report was submitted in the queue, if there are several reports pending.
Exchange	Displays the Exchange for which the report was submitted.
Firm(s)	Displays the Firm(s) for which the report was submitted.
Report Type	Displays the Report Type for the report submitted.
Report Name	Displays the Report name.
Time Requested	Displays the date and time the report is requested.

7.3.1 View Report

To view a report in the Report Viewer:
1. Select **View Report** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to be viewed. Note: a report will not be viewable unless the Report Status is “Ready or “Reviewed”.

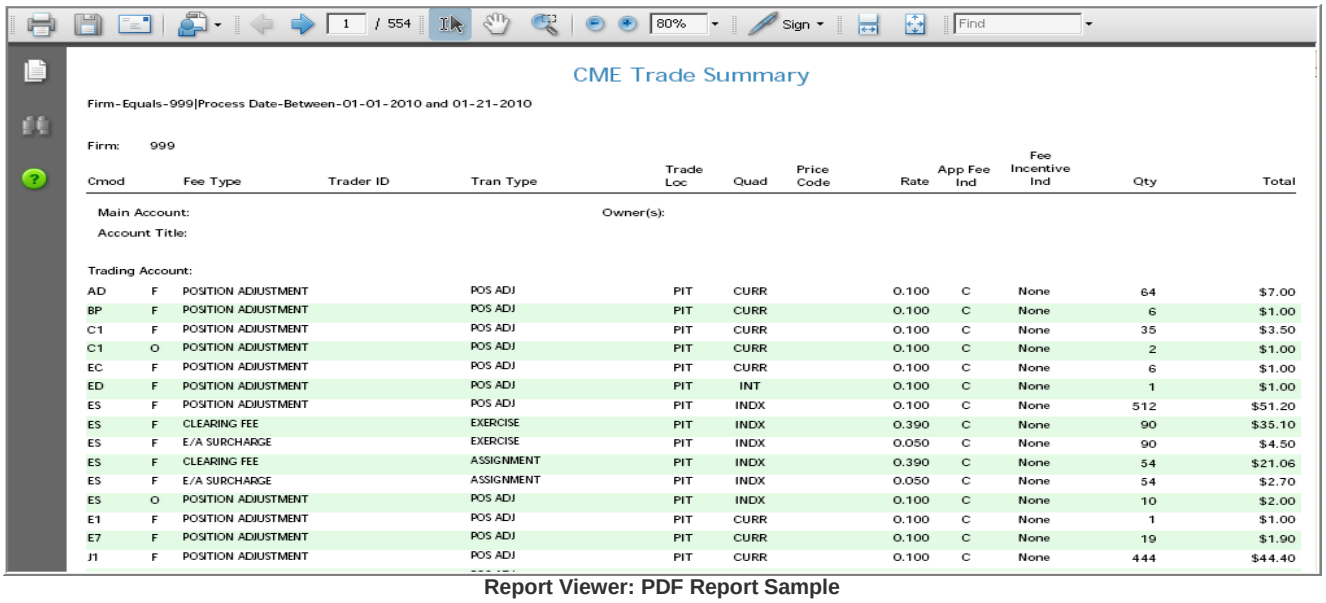
Today's Reports | Show All Reports | All Users' Reports | View Report

Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested
Ready	E13333	CBOT		Fee Summary	Account Summary	Fri Apr 27 13:20:12 CDT 2012
Ready	E13333	CBOT		Fee Summary	Condensed Trade Detail Extract	Fri Apr 27 13:20:24 CDT 2012
Ready	E13333	CBOT		Fee Summary	Fee Type Summary	Fri Apr 27 13:20:35 CDT 2012
Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested

Report Viewer: Report Action Items

After selecting the line item for the appropriate report, a new window will open to display the report.

Once Adobe Acrobat has completed loading the PDF format, the report will be displayed. If the report is not being displayed, make sure that the most recent version of Adobe Acrobat is available.



CME Trade Summary

Firm-Equals-999|Process Date-Between-01-01-2010 and 01-21-2010

Firm: 999

Main Account: Owner(s):

Account Title:

Trading Account:

Cmod		Fee Type	Trader ID	Tran Type	Trade Loc	Quad	Price Code	Rate	App Fee Ind	Fee Incentive Ind	Qty	Total
AD	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	64	$7.00
BP	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	6	$1.00
C1	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	35	$3.50
C1	O	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	2	$1.00
EC	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	6	$1.00
ED	F	POSITION ADJUSTMENT		POS ADJ	PIT	INT		0.100	C	None	1	$1.00
ES	F	POSITION ADJUSTMENT		POS ADJ	PIT	INDX		0.100	C	None	512	$51.20
ES	F	CLEARING FEE		EXERCISE	PIT	INDX		0.390	C	None	90	$35.10
ES	F	E/A SURCHARGE		EXERCISE	PIT	INDX		0.050	C	None	90	$4.50
ES	F	CLEARING FEE		ASSIGNMENT	PIT	INDX		0.390	C	None	54	$21.06
ES	F	E/A SURCHARGE		ASSIGNMENT	PIT	INDX		0.050	C	None	54	$2.70
ES	O	POSITION ADJUSTMENT		POS ADJ	PIT	INDX		0.100	C	None	10	$2.00
E1	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	1	$1.00
E7	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	19	$1.90
J1	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	444	$44.40

Report Viewer: PDF Report Sample

Adobe PDF Functions

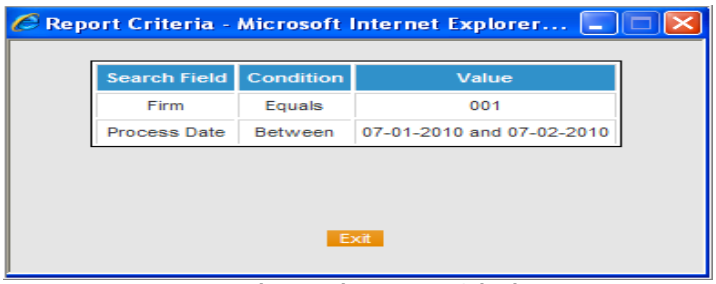
Within the PDF document, the following functions can be accessed by clicking the associated icon.

Functions that can be accessed ABOVE the report	Functions that can be accessed BELOW the report
Save the report as a .pdf file	View the **first page** of the report
Print the report	View the **previous page** of the report
Search for items within the report	View the **next page** of the report
	View the **last page** of the report

7.3.2 View Report Criteria

To view the criteria entered for a report in the Report Viewer:

1. Select **View Report Criteria** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to view the criteria.
3. The **Report Criteria** window will appear, displaying the criteria submitted for that report.
4. To close the Report Criteria window, select the **Exit** button or the close icon.

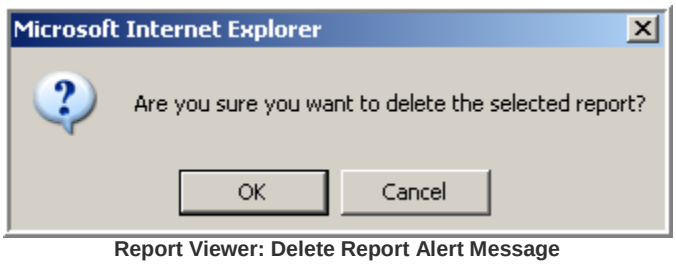


Report Viewer: View Report Criterion

7.3.3 Delete Report

To delete a report from the Report Viewer:

1. Select **Delete Report** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to delete.
3. An alert message will appear requesting confirmation of the report deletion - click **OK** to confirm or **Cancel** to exit.

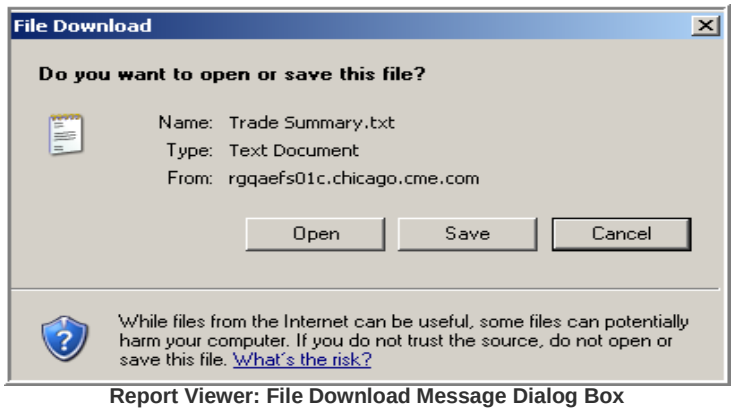


Report Viewer: Delete Report Alert Message

7.3.4 Extract Report

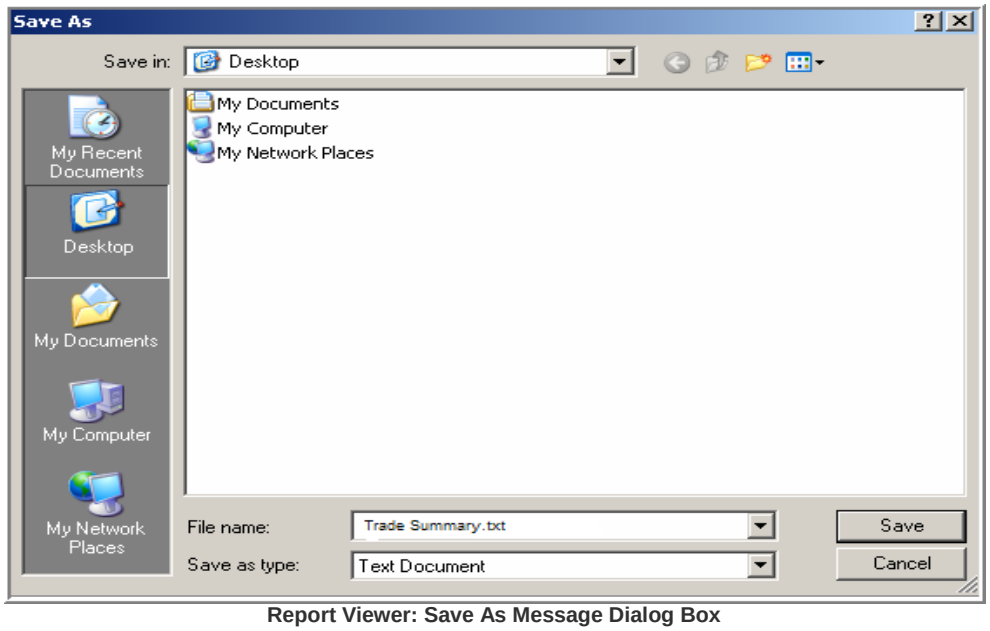
To extract a report from the Report Viewer

1. Select **Extract Report** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to be extracted.
3. A File Download message box will appear - click **OPEN** to open the file and the data will display in Notepad; click **SAVE** to save the report; or click **CANCEL** to exit**.**



Report Viewer: File Download Message Dialog Box

4. If the user selects **SAVE,** a **Save As** box will appear to indicate where to save the file. Once indicating the location and File name, click **Save**. The file is saved in a tab delimited format and may be imported into any machine readable format such as MS Excel or MS Access.

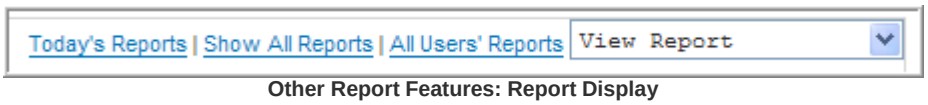


Report Viewer: Save As Message Dialog Box

7.3.5 Other Report Viewing Features

Report Display
The Report Viewer will default to showing only reports requested during the current day. To view reports requested prior to the current day, click the **Show All Reports** hyperlink in the upper right corner of the Report Viewer. The Report Viewer will retain two weeks of reports.

To go back to only viewing the current day's report requests, click the **Today's Reports** hyperlink.



Other Report Features: Report Display

All Users' Reports
To display a report request by another EFS User, click "**All Users' Reports**".

Refresh Reports
When the report is in the "**Requested**" status, to refresh the Report Viewer to see if the Report Status has changed the user may:

- Select the Refresh Icon button at the top of the browser or
- Select the **F5** key from the keyboard.

The Report Status will automatically refresh every 45 seconds.

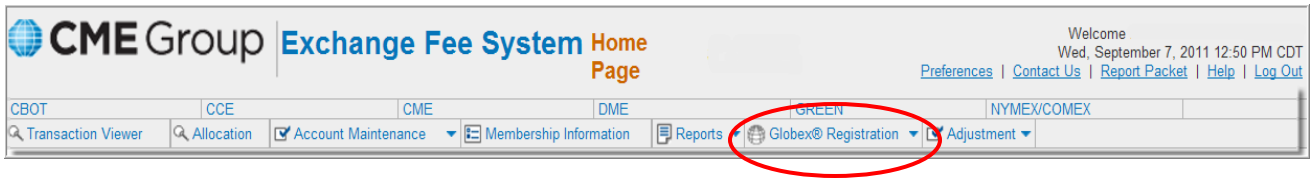
New Report
To submit a new report request when in the Report Viewer window, click **Reports** and select the **Request** sub-menu to navigate back to the Report Request screen.

8. Globex® Registration

The **Globex® Registration** screen allows Users to register Globex Operator IDs (also known as Trader IDs or "Tag 50" IDs), as well as edit and view details for previously registered IDs.

8.1 Accessing Globex Registration

To access **Globex Registration** select the option from the navigation menu.



Globex Registration has two sub-menu options:

- **Form** - Select this option to register Operator IDs.
- **Search** - Select this option to view Operator IDs that are already registered. This feature also enables the User to edit and/or copy an Operator ID.

NOTE: **All market Users should be aware that CME Group Rule 576 ("Identification of Globex Terminal Operators") requires that terminal operators be identified to the Exchange in the manner prescribed by the Exchange. CME Group Clearing Member Firms/Entities are reminded that the rule also makes it "the duty of the clearing member to ensure that registration is current and accurate at all times."**

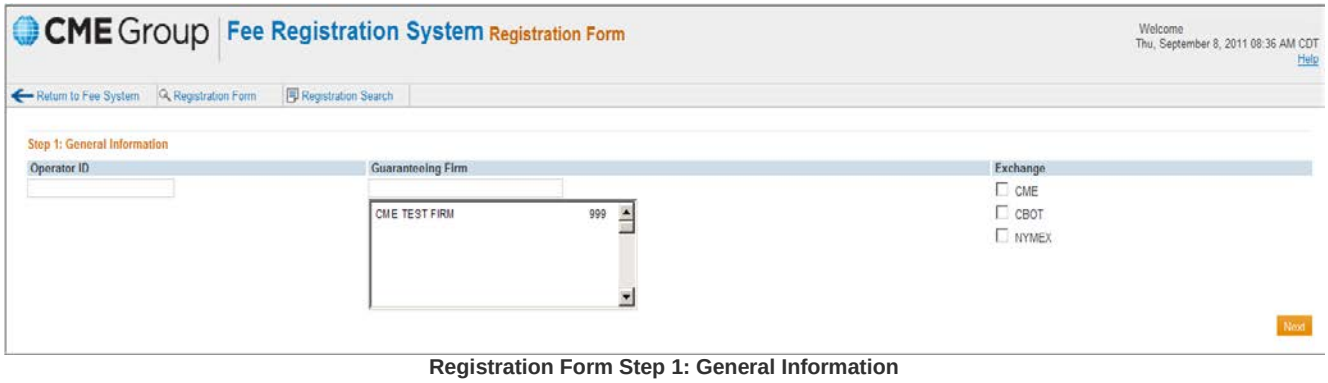
After selecting Globex Registration, the User will be directed to the Fee Registration System (FRS).

The Fee Registration System has the following menu options:

- **Return to Fee System** - Select this option to return to the Exchange Fee System (EFS).
- **Registration Form** - Select this option to register Operator IDs.
- **Registration Search** – Select this option to view, edit, or copy registered Operator IDs.

8.2 Registration Form - Step 1: General Information

To register an Operator ID, select the **Registration Form** option from the Globex Registration sub-menu. The Registration Form will display.



Registration Form Step 1: General Information

To complete Step 1 of the registration form, perform the following steps:

1. Type the **Operator ID** in the Operator ID text field (maximum of 18 characters).
2. Highlight the **Guaranteeing Firm** in the firm list box.
3. Choose the **Exchange(s)** for this Operator ID (multiple Exchanges can be selected): CME, CBOT and/or NYMEX. Note: The NYMEX Exchange represents both NYMEX and COMEX.
4. Click **Next** to continue.

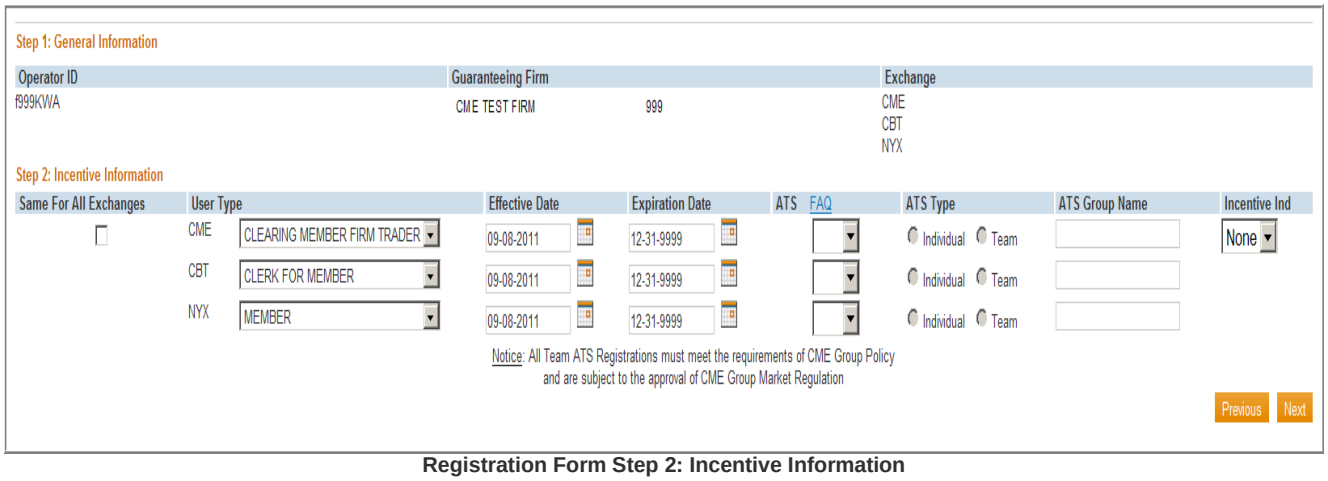
Step 1 General Information will display as read-only text and Step 2 of the registration form will display below.

Below are the associated definitions of the Step 1 General Information Fields:

FIELD NAME	DESCRIPTION
Operator ID	The operator identifier (also known as Trader ID or TAG 50) is required on all orders entered through CME Group's iLink connections. The ID registered must be unique for each individual operator at the clearing firm level across Exchanges, and may be a maximum length of 18 characters.
Guaranteeing Firm	This is the firm that guarantees the trades for a particular ID (This is equivalent to the Class A Clearing Firm under which the Trader's trades clear).
Exchange	The Exchange indicator identifies which Exchange's products the trader will be trading and also determines the required fields to complete within the remainder of the registration form. Following are the indicators that the User may chose: • **CME -** If the Operator ID to be registered will be trading CME products, select "CME". • **CBOT** - If the Operator ID to be registered will be trading CBOT products, select "CBOT". • **NYMEX -** If the Operator ID to be registered will be trading NYMEX/COMEX products, select "NYMEX". If the Operator ID to be registered will be trading **multiple** or **all** Exchanges, select the appropriate Exchange check boxes.

8.3 Registration Form - Step 2: Incentive Information

Complete the incentive information that applies to the Operator ID being registered.



Registration Form Step 2: Incentive Information

To complete Step 2 of the registration form, perform the following steps:

1. Select the **Same For All Exchanges** checkbox when the Operator ID has multiple exchanges and the User Type, Effective Date, Expiration Date, ATS information and Incentive program status are the same for each Exchange. Otherwise, leave this checkbox blank.
2. Select the **User Type** from the drop down list for each Exchange (one selection if the Same For All Exchanges checkbox was selected in the previous step).
3. Enter the **Effective Date** to indicate when this Operator ID should be effective for the specific User Type and Exchange. The effective date defaults to the current business day; to select a different date, type in the date (MM-DD-YYYY) or click the calendar next to the Effective Date text field.
4. The **Expiration Date** defaults to 12-31-9999, which represents no expiration date. To select a different date, type in the date (MM-DD-YYYY) or click the calendar next to the Expiration Date text field.
5. Select "Yes" from the **ATS** (Automated Trading System) dropdown if the Operator ID represents an ATS operation; otherwise select "No". If the User is unsure what qualifies a user to be an ATS, select the ATS FAQ hyperlink.
   - **Individual:** If the Operator ID represents only one individual person operating the ATS, select Individual.
   - **Team:** If the Operator ID represents an ATS being operated by a team of individuals, select Team and enter the team's name in the **ATS Group Name** field.

   Note: The Clerk for Member user type cannot be associated with an ATS Team.
6. Select the **Incentive Indicator** if the Operator ID is associated with a listed CME Group Fee Incentive Program, otherwise leave as the default selection of "None".
7. Click **Next** to continue. Step 1 and 2 display as read-only text.

If something was entered in error within Step 1 of the process, select the **Previous** button to go back to that Step. To start completely over, simply click Registration Form on the menu bar.

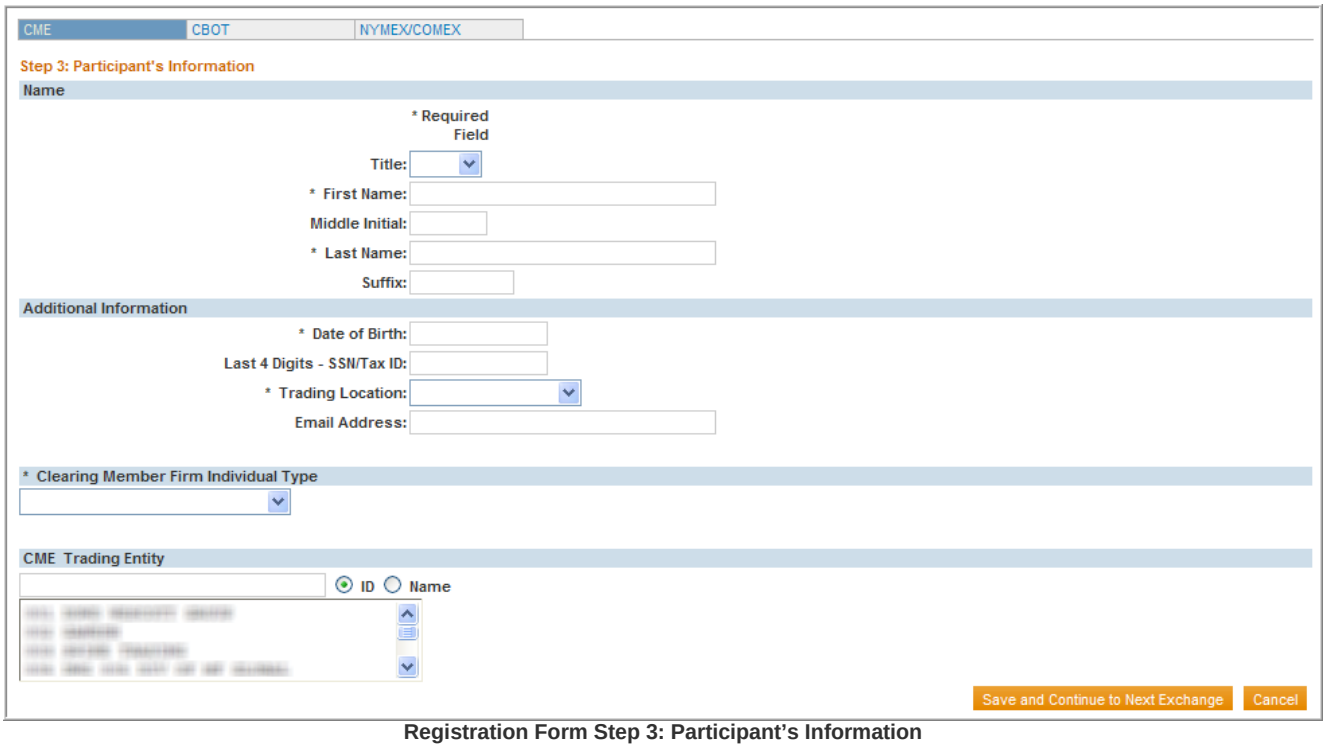
Below are the associated definitions of the Step 2 Incentive Information Fields:

FIELD NAME	DESCRIPTION	
Same For All Exchanges	This box should be checked if the ID has the same user type across all Exchanges selected in Step 1. The valid user types for this selection are: • Asia-Pacific Entity • Clearing Member Firm Trader • FMIP Participant • IIP Participant • LACIP Participant • Member • Non-Member/Customer • SAIP Participant If the check box is not selected the User may separately select the respective user type that applies to each exchange.	
User Type	**Asia-Pacific Entity**	An individual trading for a firm that is a registered participant in the Asian Incentive Program (AIP).
	Clearing Member Firm Trader	An individual trading on behalf of an Exchange Member Firm. When the User selects this user type, a Trader Type sub-category will also need to be chosen. The trader types that an individual may be classified under are as follows: • Registered Commodity Trading Advisor (CTA) • Independent Contractor receiving a 1099-MISC • Owner of the firm with at least $250,000 invested in the firm • Rule 106.F trader holding the Firm seat • W-2 employee of that clearing firm
	Clerk for Member	(CME and CBOT Only) A clerk who acts in an order filling capacity for an individual member. The Clerk must be registered with the CME Group Membership department. ***NOTE:*** *If a Member is also a Clerk, they should be registered under this category. The appropriate rates will be applied when the individual is trading for his/her own account.*
	Electronic Corp Member (106R)	(CME Only) An individual trading for a firm that is registered as an Electronic Corporate Member (ECM-Holding/ECM-Waiver).
	FMIP Participant	An individual trading for a firm that is a registered participant in the Latin American Fund Manager Incentive Program (FMIP).
	FX Bank Incentive	(CME Only) An individual trading for a firm that is registered as a participant in the eFX Bank Incentive Program (BIP).
	IIP Participant	An individual trading for a firm that is a registered participant in the International Incentive Program (IIP).
	LACIP Participant	An individual trading for a firm that is a registered

		participant in the Latin American Commercial Incentive Program (LACIP).
	Member	The individual is a CME Group member whom is currently holding a membership.
	Non-Member/ Customer	The individual does not qualify for any of the other registration categories and therefore, receives non-member rates.
	Power of Attorney	(NYMEX Only) An individual who has been granted POA of electronic trading discretion. The individual must be registered with the CME Group Membership department.
	SAIP Participant	An individual trading for a firm that is a registered participant in the South American Incentive Program (SAIP) also known as Latin American Bank Incentive Program (LABIP).
	106.H Entity	(CME Only) An individual trading for a firm registered as a Rule 106.H Corporate Member.
Effective Date	This is the date the Operator ID for the specific user type and the Exchange became effective. ***NOTE:*** *The default date will be the current business day when registering a new User ID.*	
Expiration Date	This is the date the Operator ID for the specific user type and Exchange was expired. ***NOTE:*** *The expiration date will default to 12-31-9999 when registering a new User ID. This date just means that this will be the active Operator ID. There is no set expiration date at the time of registration.*	
ATS (Automated Trading System)	This is used to indicate whether Operator ID represents an Automated Trading System.	
Incentive Indicator	This indicates whether the Operator ID is associated with one of the CME Fee Incentive Programs:	
	None (default)	Operator ID is not associated with an incentive program.
	NTIP	Operator ID is trading for a registered participant in the New Trader Incentive Program (NTIP) which allows fee discounts to new traders associated with proprietary trading firms and trading arcades located in countries outside the USA and Canada.

8.4 Registration Form - Step 3: Participant's Information

Complete the participant's information that applies to the Operator ID being registered.

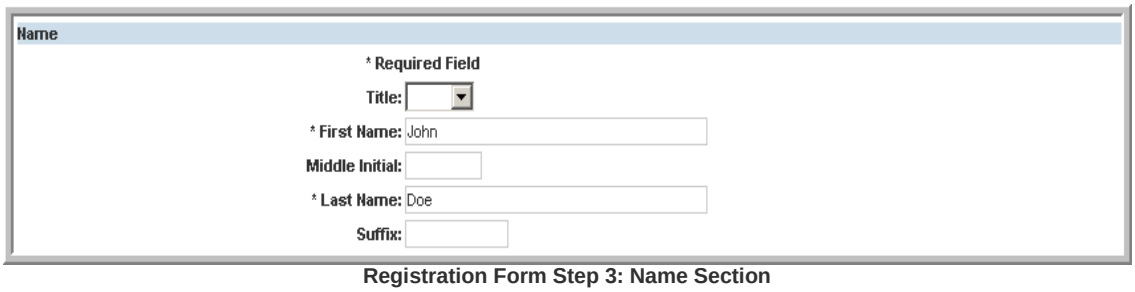


Registration Form Step 3: Participant's Information

8.4.1 Registering Participant Information of a Non-ATS or an ATS Individual Operator ID

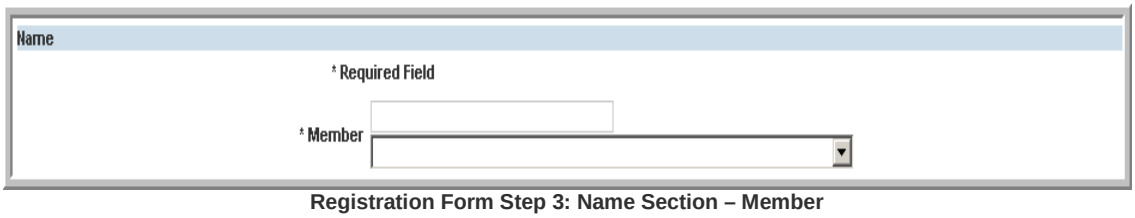
To complete Step 3 of the registration form for a Non-ATS or an ATS Individual, perform the following steps:

- In the **Name** Section, fill out the following when a user type other than Member or Clerk for Member is selected:
  - Select the **Title** and then enter the **First Name**, **Middle Initial**, **Last Name** and **Suffix** in the appropriate text fields. The Title, Middle Initial and Suffix are optional fields.



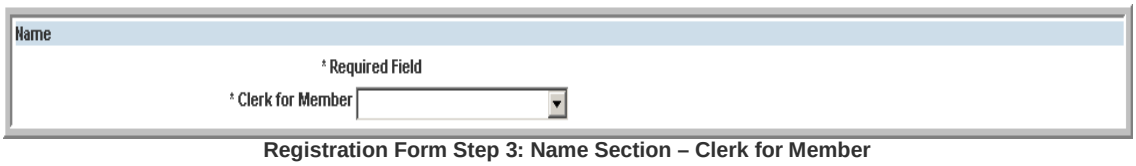
Registration Form Step 3: Name Section

- In the **Name** Section, fill out the following when user type is **Member**:
  - Select the respective **Member** from the drop-down list. The User may scroll through the list, or enter a string of characters of the member's last name in the text field, to find the appropriate name in the list.



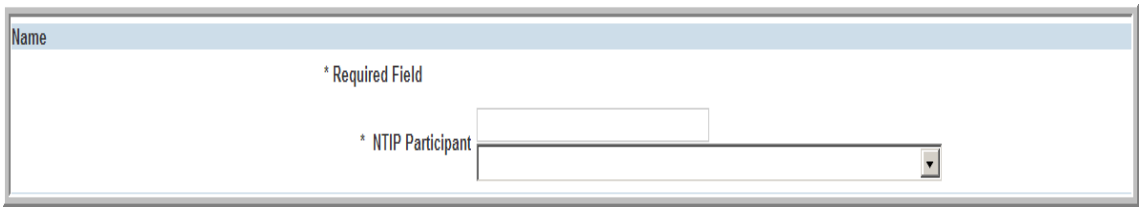
Registration Form Step 3: Name Section – Member

- In the **Name** Section, fill out the following when user type is **Clerk for Member**:
  - Select the respective **Clerk for Member** from the drop down list. If the clerk is not found, contact CME Group's membership department to ensure the appropriate paperwork has been submitted.

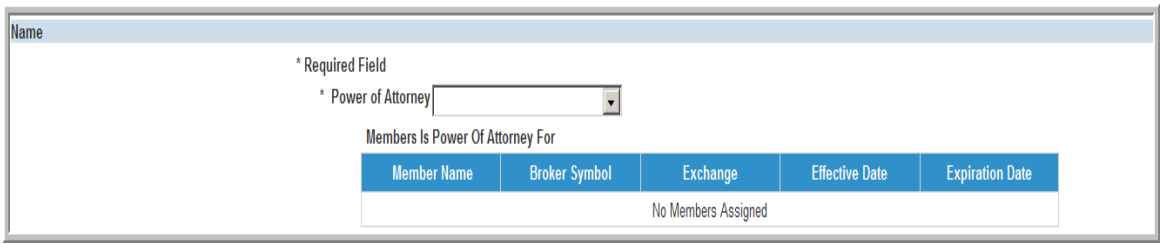


Registration Form Step 3: Name Section – Clerk for Member

- In the **Name** Section, fill out the following when Incentive Indicator is **NTIP**:
  - Select the respective **NTIP Participant** from the drop down list. If the NTIP participant is not found, contact CME Group's membership department to ensure the appropriate paperwork has been submitted.



- In the **Name** Section, fill out the following when user type is **Power of Attorney** (Exchange-NYX):
  - Select the respective **Power of Attorney** from the drop down list. If the Power of Attorney is not found, contact CME Group's membership department to ensure the appropriate paperwork has been submitted.



- In the **Additional Information** Section, fill out the following:
  - **Date of Birth** (Required) – In the Date of Birth text field, type in the birth date (in the format of MM-DD-YYYY) or click on the calendar to the right of the Date of Birth text field and click on the appropriate date. The Date of Birth must represent a user that is at least 18 years old.
  - **Last 4 digits - SSN/Tax ID** (Optional) – In the SSN/Tax ID text field, type in the last 4 digits of the participant's social security number or Tax ID. For foreign traders, type the last 4 characters of the unique government issued tax code or insurance number.
  - **Trading Location** (Required) – Select the appropriate country that represents where the trader is located.

- **Email Address** (Optional) – Enter the participant's email address.

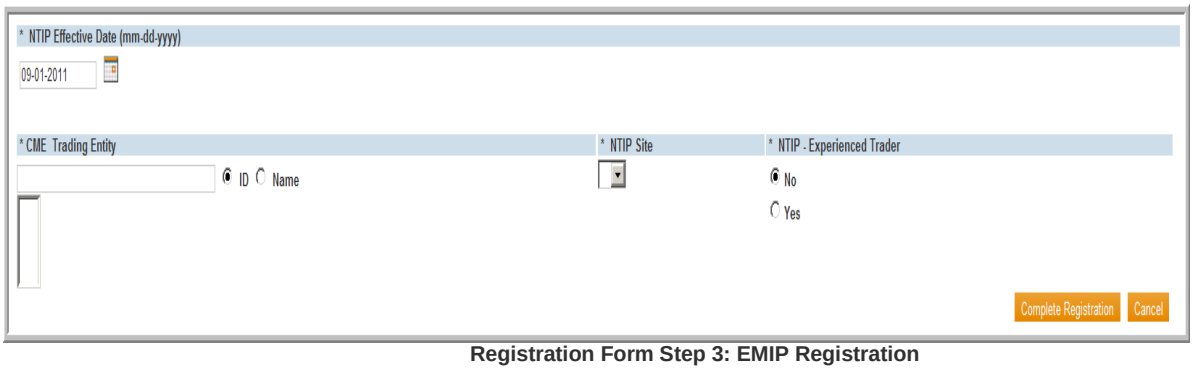
- If the user type selected was **Clearing Member Firm Trader** then an additional field will be required, **Clearing Member Firm Individual Type.** Select from the drop-down list the appropriate status of the trader:
  - Commodity Trading Advisor (CTA)
  - Independent Contractor receiving a 1099-MISC
  - Owner of the firm with at least $250,000 invested in the firm
  - Rule 106.F trader holding the Firm seat
  - W-2 employee of that clearing firm

- Select the **Trading Entity** to which the participant is associated by highlighting the entity in the Trading Entity list. The User may utilize the auto-text feature by entering the first few characters of the entity name in the text field to avoid scrolling through the entire list.

- If in Step 2, the **Incentive Indicator** was set to "NTIP", then before the User can select the **Trading Entity** the user will be prompted to enter the following:

  - Enter the **NTIP Effective Date** for when the participant will begin trading under this program. Type in the date in MM-DD-YYYY format. Note: The earliest Effective Date allowed is the first day of the current month.
  - Select the **Trading Entity** that is part of the NTIP program. Once selected, the associated NTIP eligible sites for that entity will appear in the **NTIP Site** drop down list. Select the appropriate site from the list.
  - If the trader is trading for the NTIP Site, but is an experienced trader, they are not eligible for the NTIP discounts; therefore the **Experienced Trader indicator** should be changed to "**Yes**". Otherwise, the **Experienced Trader Indicator** will default to "No" so that the discounts will apply.

NOTE: **Trading Entity must be approved and registered with the CME Group Membership department as a participant in NTIP. Lack of this registration will be evident if there are no NTIP sites in the Site drop down list. If this occurs, please contact the CME Group Membership department for further assistance.**



Registration Form Step 3: EMIP Registration

- Once all of this information has been entered, the User will have **one** of the following buttons to chose from, depending on the selection criterion from Step 1:
  - If the User is only registering an Operator ID for one Exchange, then click **Save** to complete the registration process.
  - If the User is registering an Operator ID for multiple Exchanges, and the User Type represented "Same For All Exchanges" click **Save and Continue to Next Exchange** to complete the registration process for the next Exchange. Note: As applicable, the information entered will be carried forward for the other

Exchange(s) for the User to verify and save. The registration process is not complete until all Exchanges have been completed and saved.

- If the User is registering an Operator ID for multiple Exchanges, with different User Types; then click **Save and Continue to Next Exchange** to complete the registration process for the next Exchange. Note: As applicable, the information entered will be carried forward for the other Exchange(s) for the User to verify and save. The registration process is not complete until all Exchanges have been completed and saved.

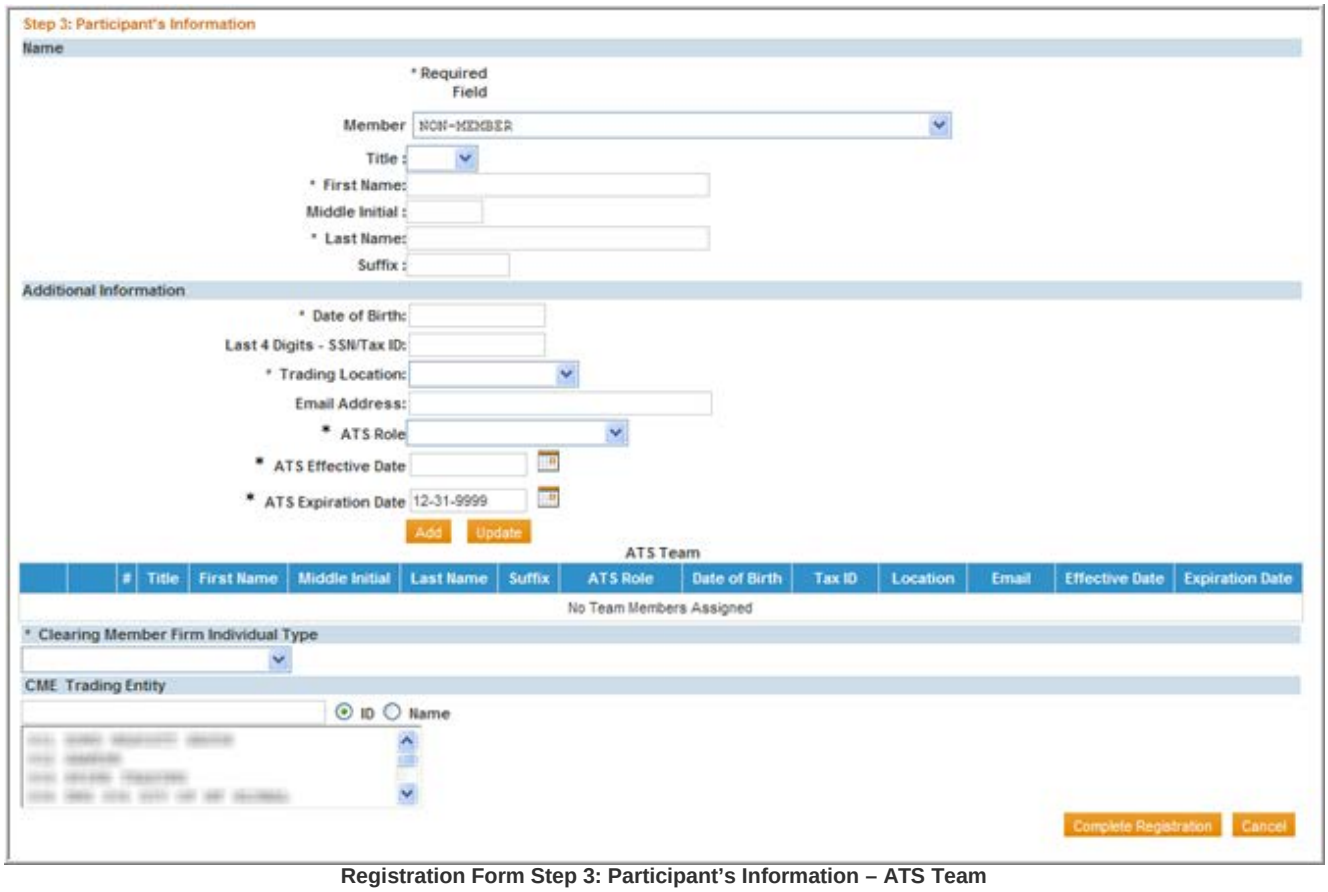
If registration was successfully completed the user will receive a confirmation message stating "Your Information has been saved".

If something was entered in error within Step 2 of the process, select the **Previous** button to go back to that Step. To start completely over, simply click Registration Form located at the top of the page.

NOTE: **Upon completion of registering the Operator ID, trades will need to be submitted for recalculation manually in the Transaction Viewer when the Operator ID's effective date is earlier than the current business date.**

8.4.2 Registering an ATS Team Operator ID

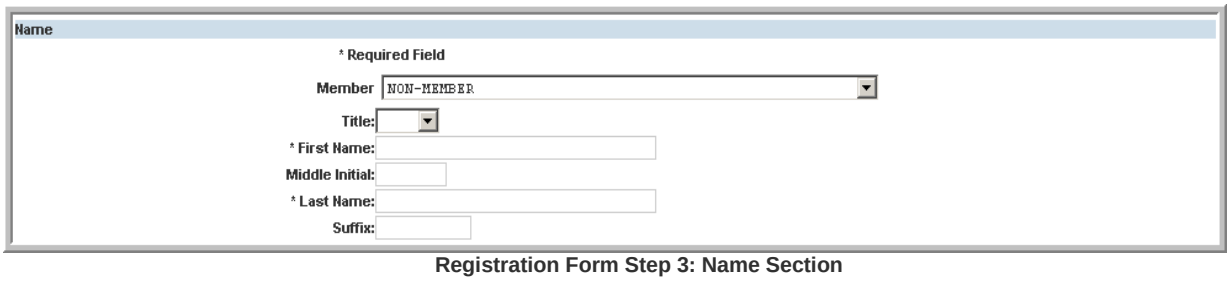
If in Step 2, it was identified that the Operator ID represented an ATS Team, the following details will need to be completed in Step 3 of the registration process:



Registration Form Step 3: Participant's Information – ATS Team

1. In the **Name** Section, fill out the following for the first member of the ATS Team:

   - Select the **Title** and then enter the **First Name**, **Middle Initial**, **Last Name** and **Suffix** in the appropriate text fields. The Title, Middle Initial and Suffix are optional.



Registration Form Step 3: Name Section

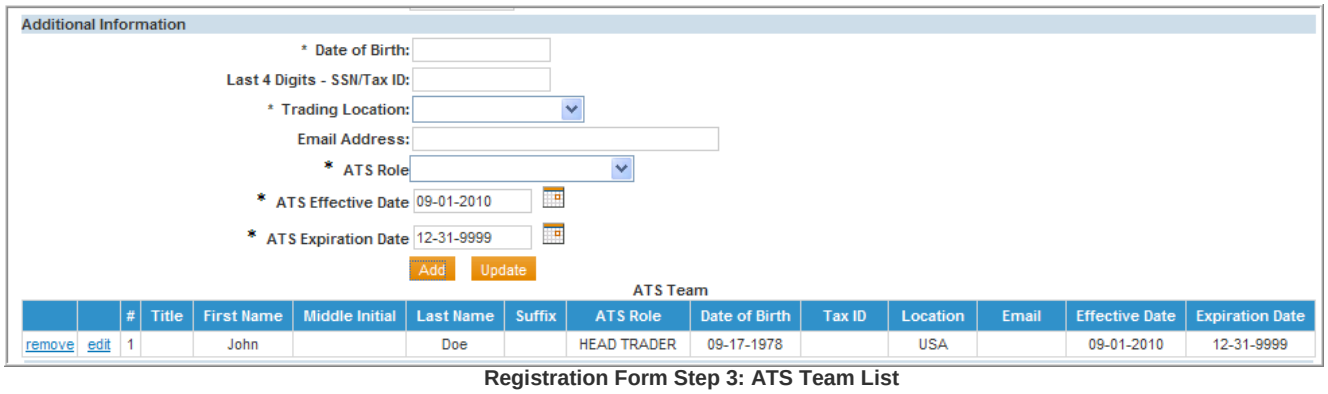
If the user Type is **Member,** select the appropriate Member by scrolling through the list and highlighting the member name. The other fields (Title, First Name, Middle Initial, Last Name and Suffix) in the name section will become disabled after the selecting the member via the drop down list.

2. In **the Additional Information** section, fill out the following:

- **Date of Birth** (Required) – In the Date of Birth text field, type in the birth date (in the format of MM-DD-YYYY) or click on the calendar to the right of the Date of Birth text field and click on the appropriate date.
- **Last 4 digits - SSN/Tax ID** (Optional) – In the SSN/Tax ID text field, type in the last 4 digits of the participant's social security number or Tax ID. For foreign traders, type the last 4 characters of the unique government issued tax code or insurance number.
- **Trading Location** (Required) – Select the appropriate country that represents where the trader is located.
- **Email Address** (Optional) – Enter the participant's email address.
- **ATS Role** (Required) – Select the role of that individual on the ATS team (Head Trader, Trader, Risk Monitor, Trading Monitor, Technical/Programmer, Other) from the drop-down list. There **must** be one Head Trader role.
- Enter the **ATS Effective Date** (Required) for the team member. The system will default to the current business day, to select a different date, type in the date (in MM-DD-YYYY format) or click on the calendar to the right of the Effective Date text field and click on the appropriate date.
- The **ATS Expiration Date** (Required) will default to 12-31-9999. To select a different date, type in the date (in MM-DD-YYYY format) or click on the calendar to the right of the Expiration Date text field and click on the appropriate date.
- Once all the required information for an individual team member has been entered, select the **ADD** button and the user will be added to the ATS Team list.

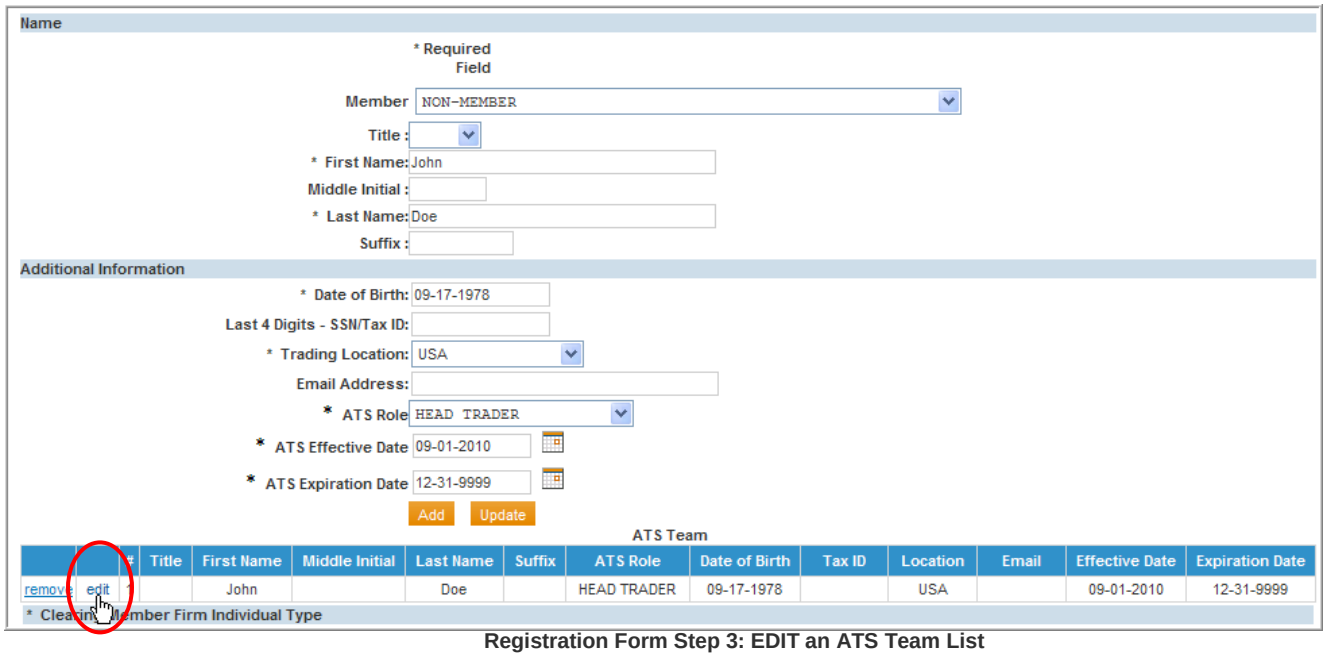
To submit the information for another individual team member, repeat the steps above.

NOTE: **Each ATS group must have a Head Trader. Also, if the user type is a "Member" then the User must designate the "Head Trader" as a member to ensure the appropriate fees are applied.**



Registration Form Step 3: ATS Team List

To edit an ATS participant, select **Edit** next to the participants name in the ATS team list. The information for that team member will be populated into the form above for updating. When done editing the record, select the **Update** button.



Registration Form Step 3: EDIT an ATS Team List

To remove an ATS participant, select **Remove** next to the participants name in the ATS team list. An alert message will appear; select **OK** to continue with the deletion or **Cancel**. If **OK** is selected, the user will be removed from the list.

3. If the user type selected was **Clearing Member Firm Trader** then an additional field will be required, **Clearing Member Firm Individual Type**. Select from the drop-down list the appropriate status of the trader which will be as follows:
   - Commodity Trading Advisor (CTA)
   - Independent Contractor receiving a 1099-MISC
   - Owner of the firm with at least $250,000 invested in the firm
   - Rule 106.F trader holding the Firm seat
   - W-2 employee of that clearing firm

4. Select the **Trading Entity** to which the participant is associated by highlighting the entity in the Trading Entity list. The User may utilize the auto-text feature by entering of the first few characters of the entity name in the text field to avoid scrolling through the entire list.

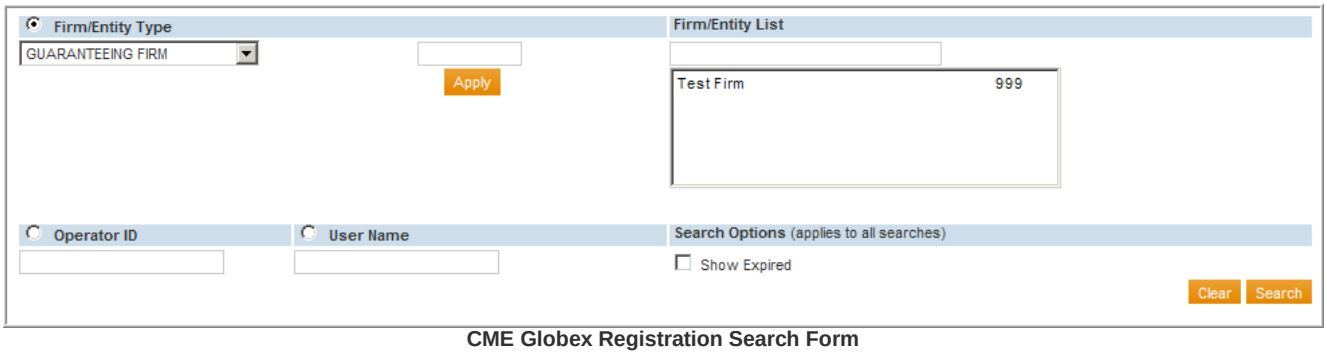
8.5 Globex Registration Search

To view the details for previously registered Operator IDs, select **Search** from the Registration sub-menu. The User will be redirected to the search screen.

There are three different methods by which the registered Operator IDs may be retrieved:

- Firm/Entity Type
- Operator ID
- User Name

Select the radio button in front of the preferred search option. For detailed descriptions on these search types, refer to the sections below.



CME Globex Registration Search Form

8.5.1 Searching by Firm/Entity Type

To search by Firm/Entity Type the User must perform the following steps:

- Select the Firm/Entity Type radio button.
- Select the appropriate **Firm/Entity Type** to search for within the drop down list.
- Select the **Apply** button.
    - If the User leaves the textbox above the Apply button blank, the list will contain all entities for the firm/entity type selected.
    - If the User enters a string of characters in the textbox above the Apply button, the list will contain only entities whose name contains that string of characters, within that firm/entity type selected.
- Select the desired Firm/Entity from the **Firm/Entity List**.
    - Scroll through the list utilizing the scroll bar or enter the first few characters of the entity name in the textbox above the Firm/Entity List.
    - Click to highlight the appropriate firm/entity.
- To include expired Operator IDs in the search, check the **Show Expired** box under **Search Options**.
- Select the '**Search'** button to retrieve the registered Operator IDs.

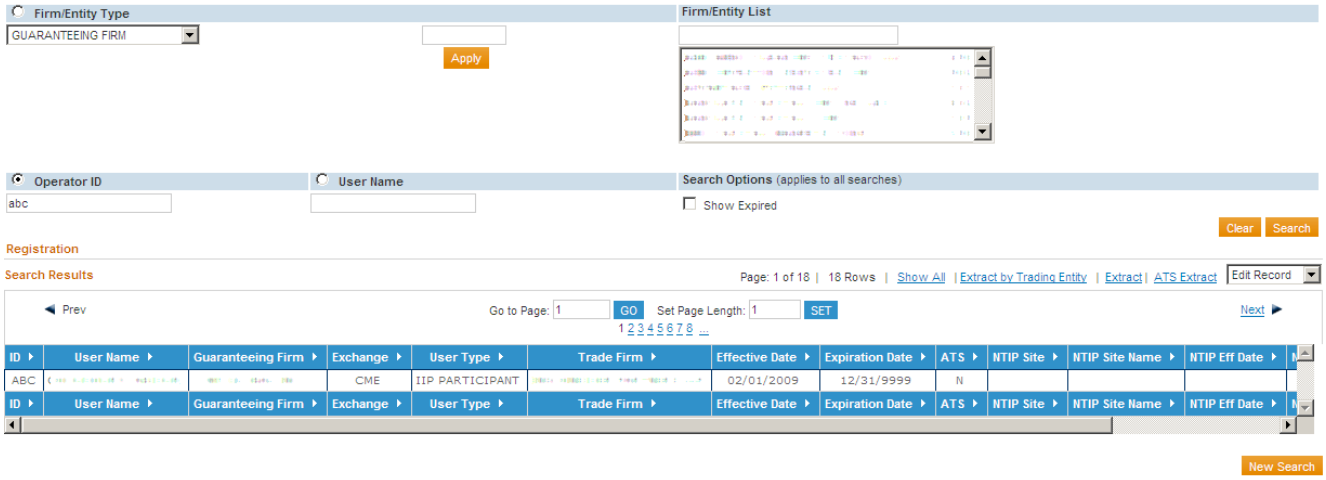
8.5.2 Searching by Operator ID or User Name

To search by Operator ID or User Name the User must perform the following steps:

- Select the **Operator ID or User Name** radio button and type in the string of characters contained in the Operator ID or User Name that is to be retrieved. The string of characters entered does **not** have to be an exact match; it will pull back all items that contain that string.
- Click the **Search** button to retrieve the information.

8.5.3 Search Results

The search results will be displayed in a section below the CME Globex Registration Search form and will contain all field values associated with the ID.



Registration Search Results

To start a new search:

- Go back to the search form at the top of the page, change the search parameters as needed and then click the **Submit** button.

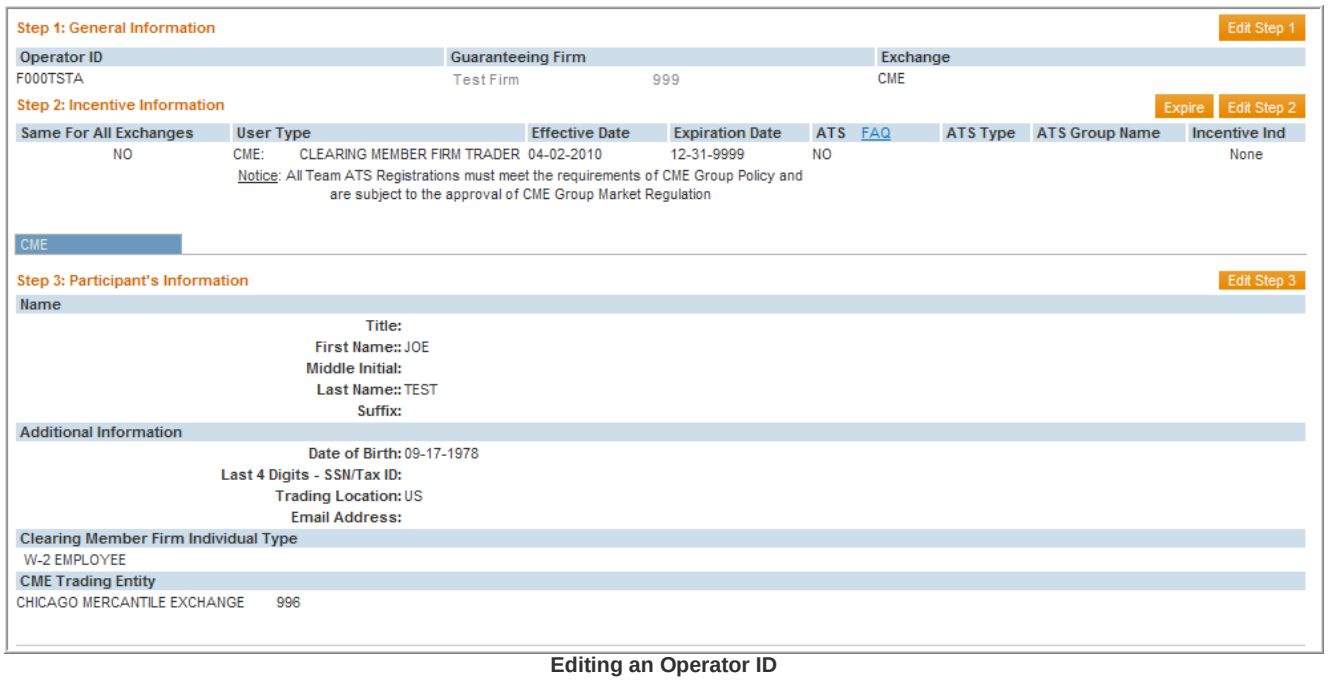
  OR

- Select the **New Search** button at the bottom right to completely clear the search form.

8.6 Editing Operator IDs

To **edit** an Operator ID, select **Edit Record** from the drop-down list at the top right corner of the search results. (Note: This is the default selection.) Then click to select the line item to be modified from the **search results** list. The User will be redirected to the registration form edit mode with the fields pre-populated with what was previously registered.

1. To edit information in Step 1 General Information, click **Edit Step 1** and update fields as needed. The User will also need to proceed through Steps 2 and 3 in order to save the updated ID. Any required changes can also be made in Steps 2 and 3 as needed..
2. If there are no changes to be made within Step 1, to edit information in Step 2 Incentive Information, click **Edit Step 2** and proceed through Step 2 and Step 3, making any required changes.
3. If there are no changes required within Steps 1 or 2, to edit information in Step 3 Participant's Information, click **Edit Step 3** and update the participant's information as needed.
4. Click Complete Registration when finished.

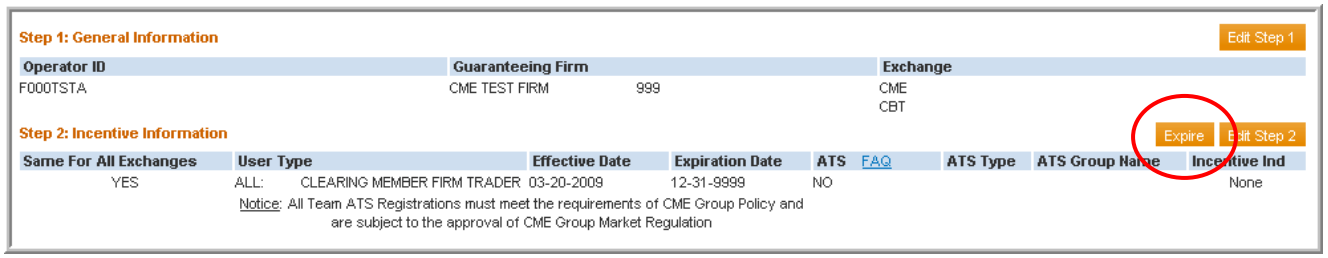


Editing an Operator ID

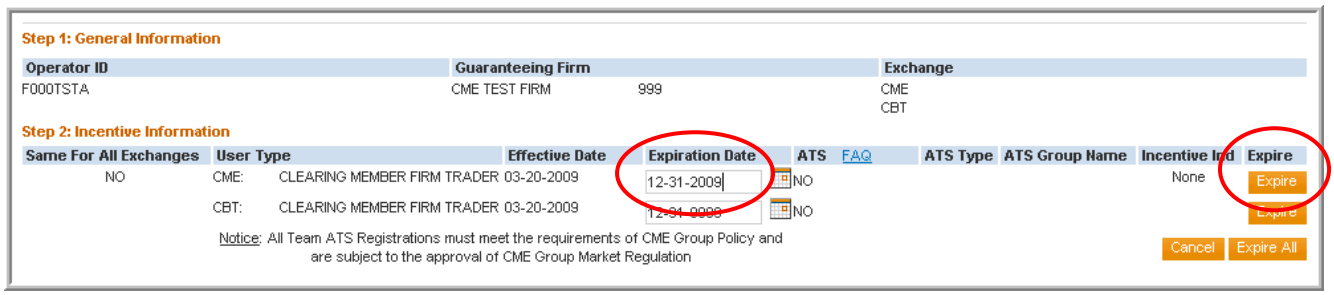
8.6.1 Expire Registered Operator IDs

To **expire** an Operator ID, select **Edit Record** from the drop-down list at the top right corner of the search results. (Note: This is the default selection.) Then click to select the line item to be expired from the **search results** list. The User will be redirected to the registration form edit mode with the fields pre-populated with what was previously registered.

1. To modify the Operator ID's Expiration Date, click **Expire within Step 2**.

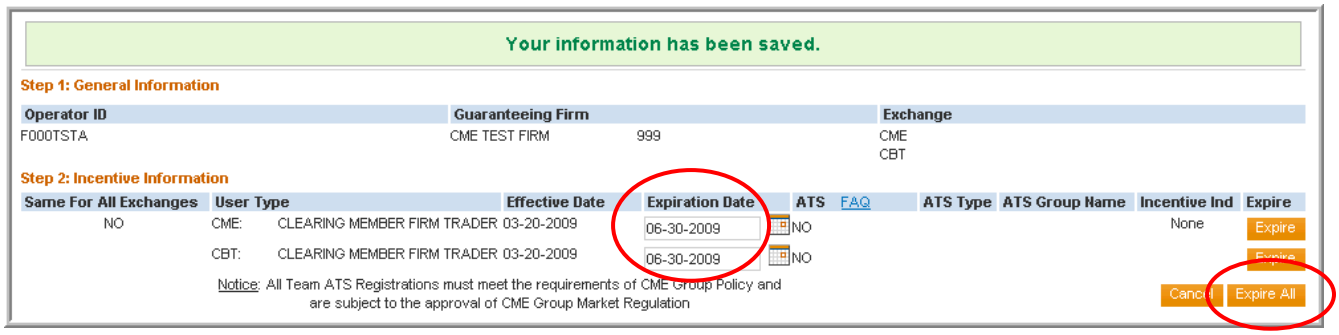


2. Enter the new **Expiration Date** and click the **Expire** button corresponding to the row to be updated.



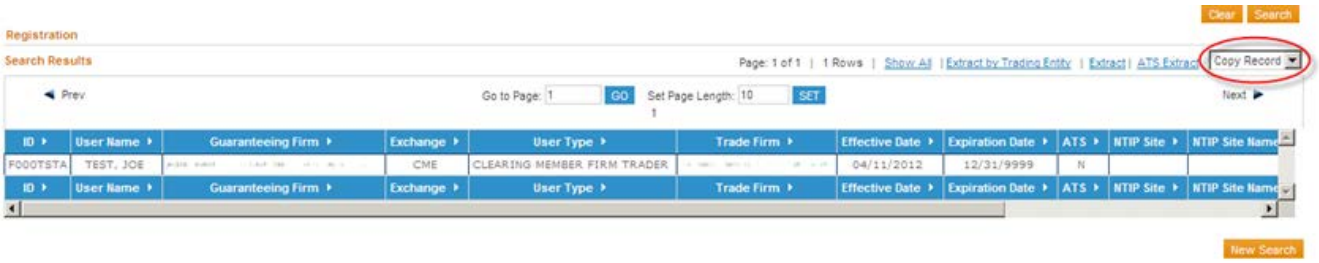
3. After clicking Expire, a confirmation will display indicating the information has been saved.

To update **all** of the associated Exchanges' Expiration Dates, click the **Expire All** button after entering the new expiration date in all rows.

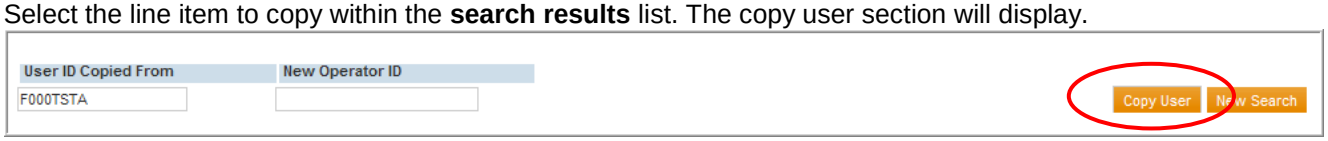


8.7 Copying Operator IDs

To **copy** an Operator ID, select **Copy Record** from the drop-down list at the top right corner of the search results.



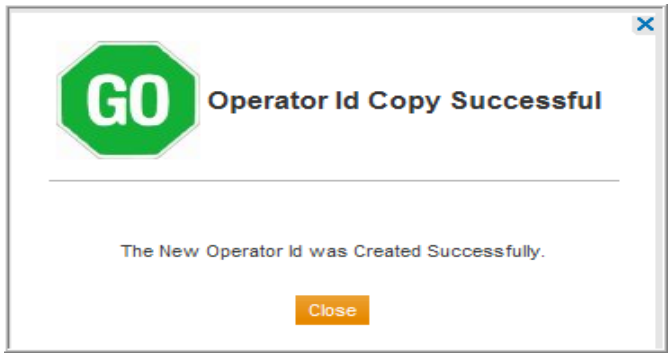
Select the line item to copy within the **search results** list. The copy user section will display.



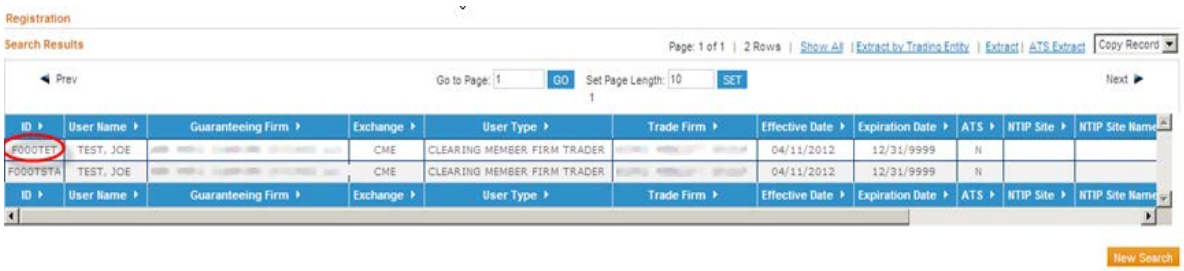
The "**User ID Copied From**" is populated with the selected line item ID.

- Enter the **New Operator ID** and then click **Copy User**.

The confirmation message will display, click **Close**.

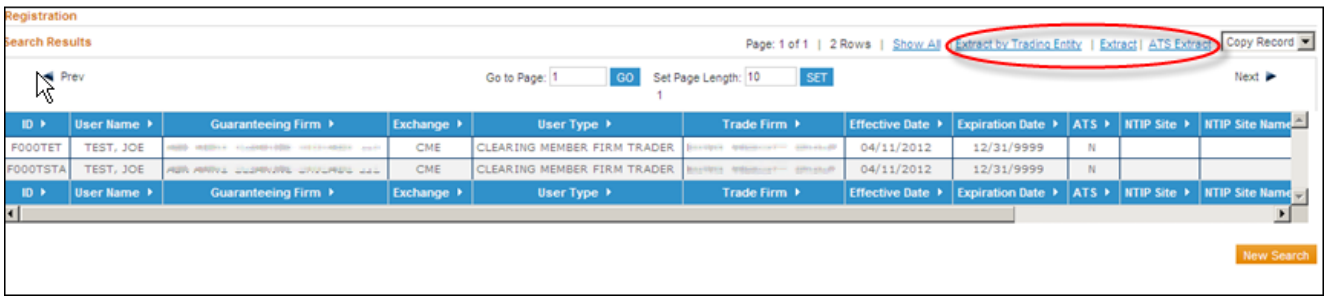


The new Operator ID will be displayed in the search results list with all other field values matching the Operator ID that was copied.



8.8 Extracting Operator IDs

To **extract** the Operator ID search results click the **Extract, Extract by Trading Entity or ATS Extract** link located at the top right corner of the search results section.



Extract Hyperlink

The **Extract** hyperlink will provide an extract of the data results sorted by ID. The **Extract by Trading Entity** hyperlink will provide an extract of the data results sorted by Trading Firm. The **ATS Extract** will provide an extract of all ATS Team registration details within your search results.

After selecting one of the extract hyperlinks, a windows dialog box will appear requesting the User to **Open** or **Save** the tab delimited file. To cancel the extract process, simply select **Cancel**. The **tab delimited file** will contain all of the field values displayed on the search results screen.

9. Adjustment

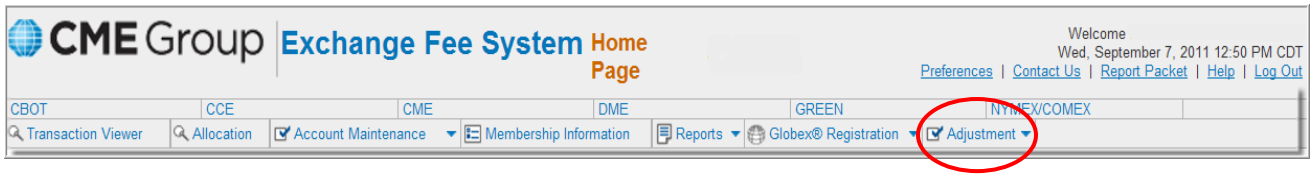
The **Adjustment** screen allows the User to add, edit and view manual fee adjustment requests. Manual fee adjustment requests are used only for scenarios that cannot be updated automatically within the Exchange Fee System (EFS). Any adjustment that CAN be processed through EFS MUST be processed through EFS. This section is for the exception cases only.

Note: All adjustment requests are subject to the Adjustment Deadlines/Banking Schedule posted on the EFS Homepage.

The User is encouraged to complete the Adjustment template, located on each Exchange's Homepage, in order to provide the necessary supporting calculation for the adjustment request. Refer to the Adjustment Template Instructions, also located on each Exchange's Homepage, for assistance with completing the template.

9.1 Accessing Adjustment

To access the **Adjustment** screen select the option from the navigation menu.

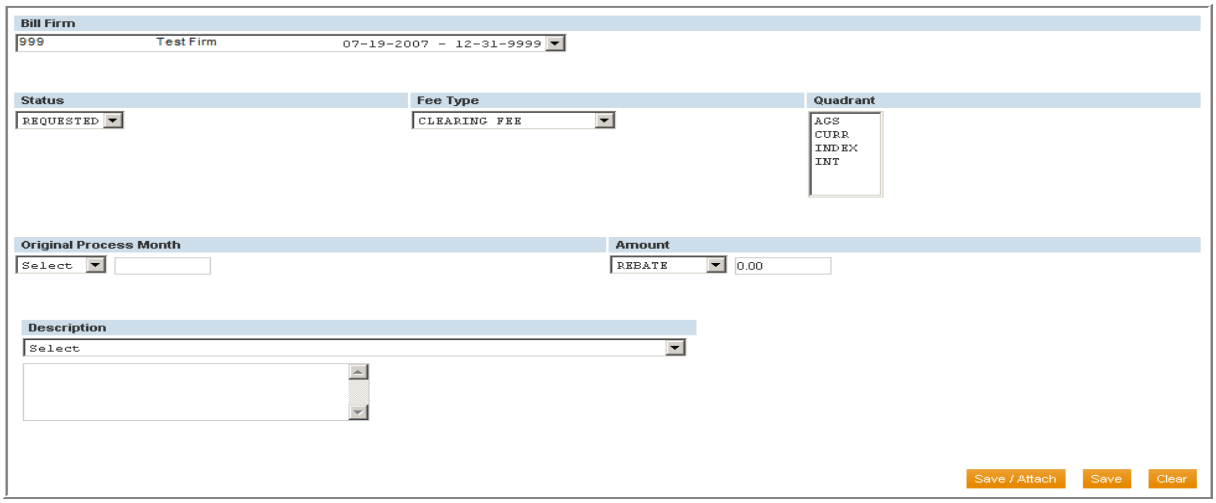


Dropdown Menu:

- **Create** - Select this option to add a new fee adjustment request.
- **Search** - Select this option to edit, or view the status of, existing fee adjustment requests.

9.2 Creating an Adjustment

To create an adjustment, select **Create** from the Adjustment sub menu. The Adjustment screen will display.



Complete the Adjustment request form:

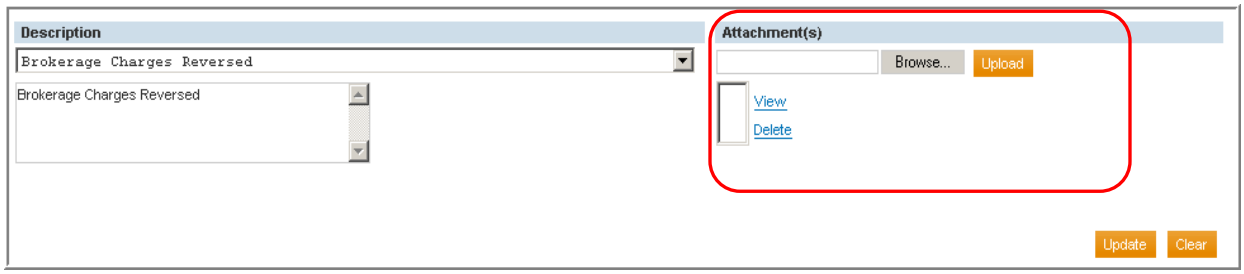
1. Select the **Bill Firm**.
2. **Status** will default to **Requested**.
3. Select the **Fee Type**.
4. Select the product **Quadrant** (Note: This displays as **Product Venue** for NYMEX/COMEX; this field does not apply for DME).
5. Select the **Original Process Month** (MM - YYYY).
6. Enter an **Amount** after selecting whether the adjustment represents a **Rebate** or **Assessment**.
7. Select a reason for the adjustment from the pre-populated drop-down list or type the reason in the **Description** text box.
8. To add an attachment click **Save/Attach**

NOTE: Adjustments can only be submitted for the open adjustment period, refer to the EFS Adjustment Deadlines/Banking Schedule located on the homepage.

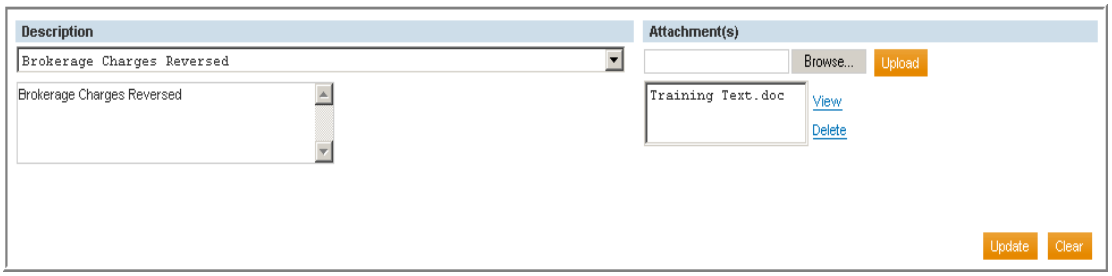
9.3 Adding an Attachment

To add an attachment, click the **Save/Attach** button. A confirmation message will appear along with the Attachment(s) section.

1. Click **Browse**. The Choose file window will display.



2. Locate and click the file to attach.
3. Click **Open**.
4. Click **Upload**. The filename will appear in the attachment list and a confirmation message will display. Repeat these steps for any additional attachment(s).

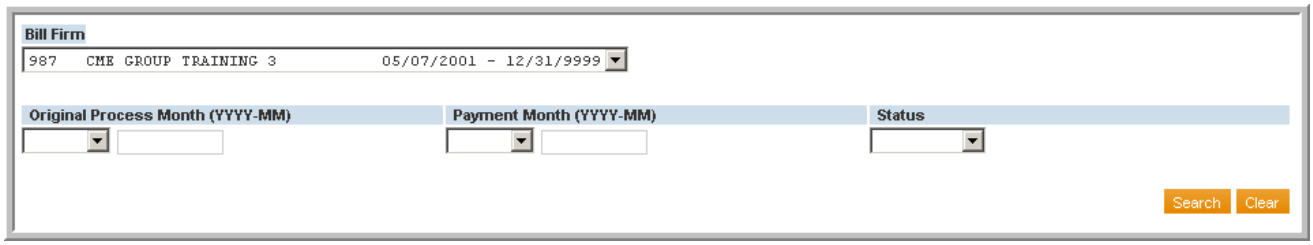


5. Click **Update** to complete the attachment process.
   a. To view the file, highlight the file name and click **View**.
   b. To remove the file, click **Delete**.

To create another adjustment, click **Clear**.

9.4 Searching for Fee Adjustments

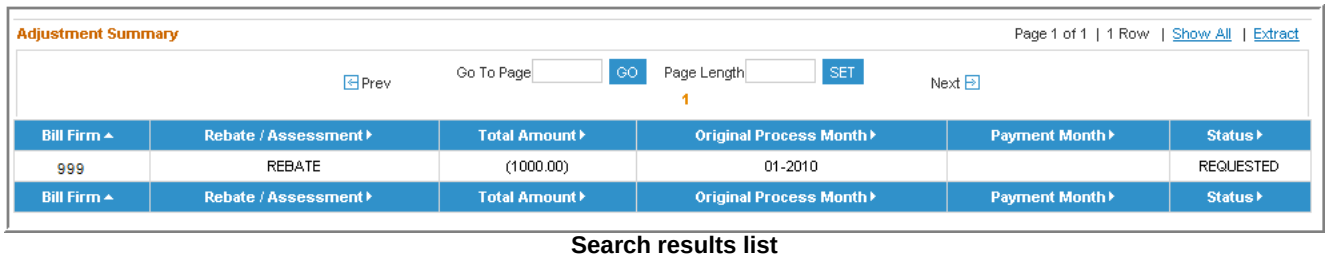
To complete a search for an adjustment, select **Search** from the Adjustment sub menu. The Search Adjustment screen will appear.



1. Select the **Bill Firm**.
2. Select the **Original Process Month** (YYYY-MM) (optional).
3. Select the **Payment Month** (YYYY-MM) (optional).
4. Select the **Status** (optional).
5. Click **Search**.

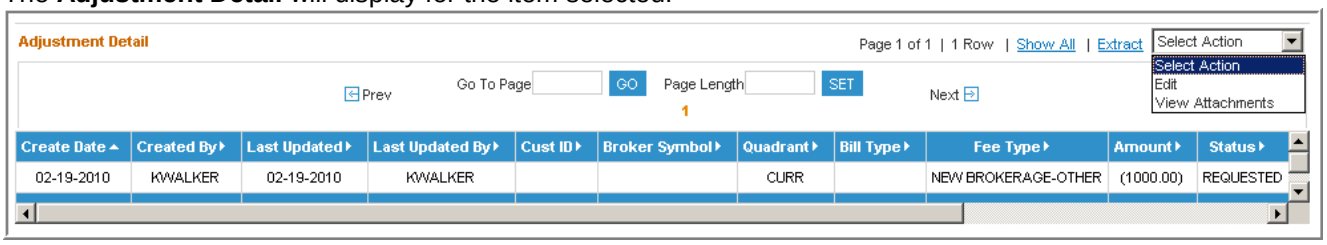
The Adjustment Summary page will appear. If the User does not select any criteria other than Bill Firm the search will include all adjustments.

To view the detail of the adjustment, select the Adjustment Summary **line item** to view.

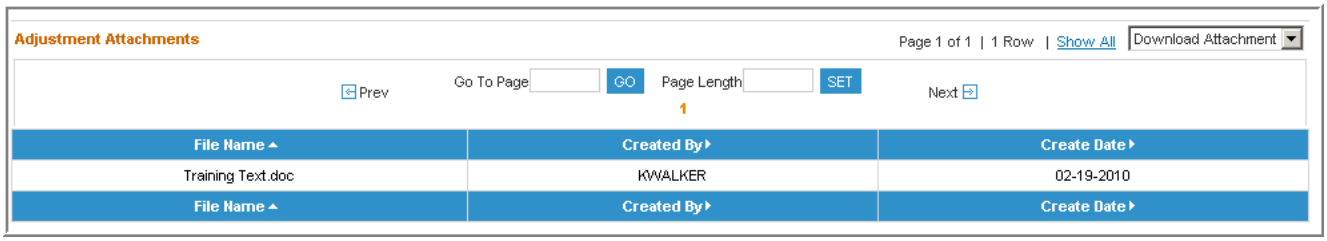


Search results list

The **Adjustment Detail** will display for the item selected.



To view an attachment, select action **View Attachments** and click the **line item** to view.

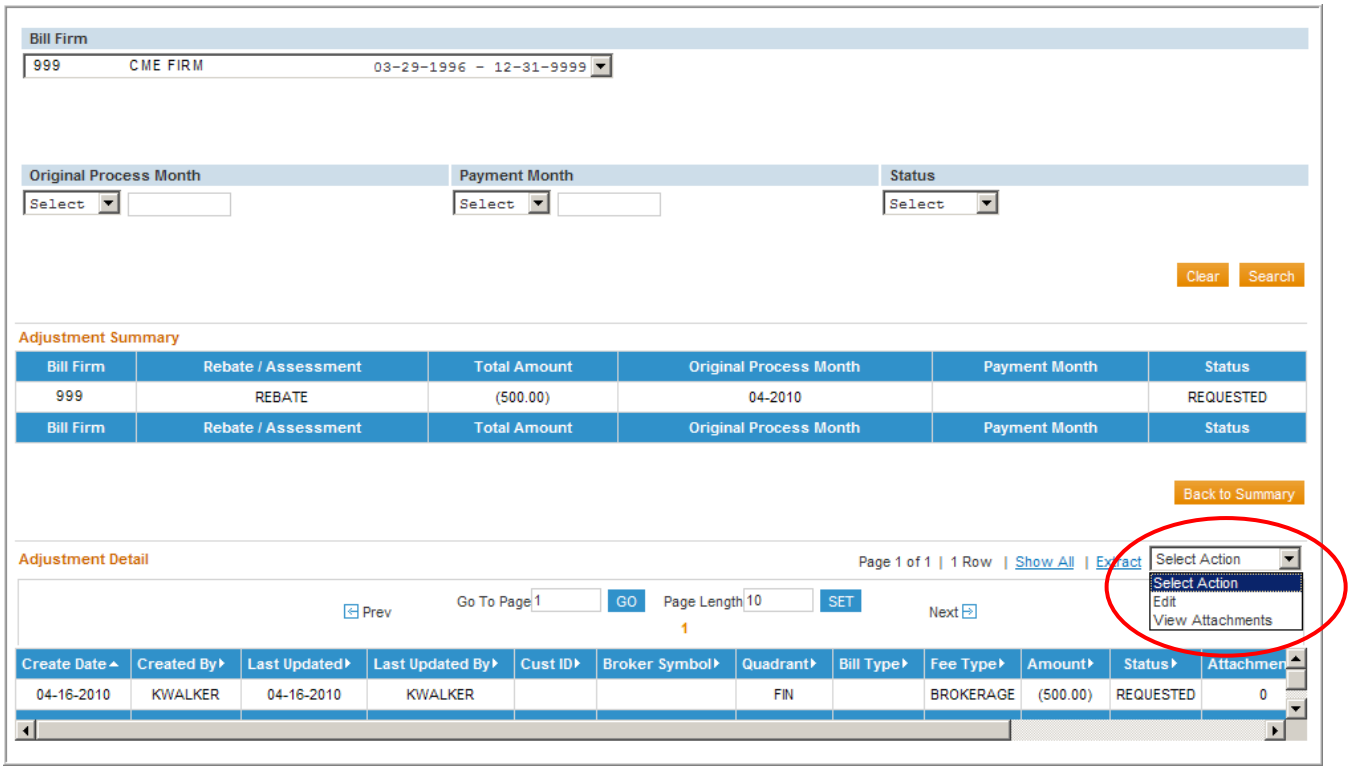


To view the attachment details, click the **line item**. The select action is set to ***Download Attachment***.

9.5 Editing an Adjustment

To edit an adjustment, complete an adjustment search. The Adjustment Summary will display the adjustments matching the search criteria entered.

1. Click the line item to edit. The Adjustment Detail will display.
2. Select **Edit** from the Select Action drop-down list.
3. Click the line item to edit in the Adjustment Detail section.

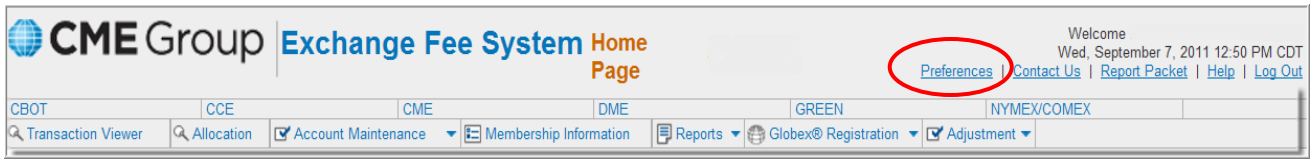


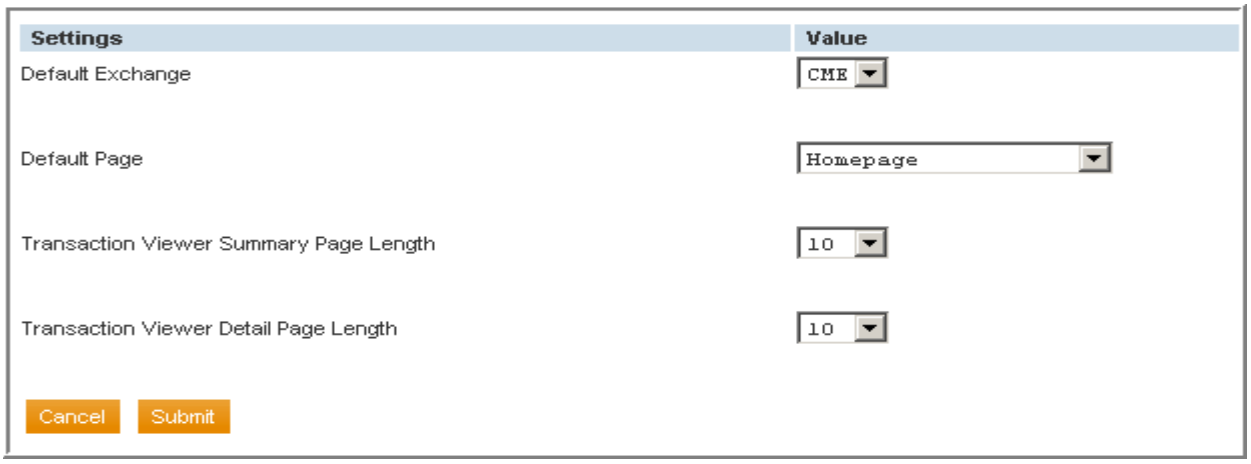
The User will be redirected to the '*Create/Edit Adjustment'* screen. Enter the updated information and click the **Update** button.
A confirmation message will display.

To add an attachment click the **Attach** button (refer to section **9.3 Adding an Attachment**).

10. Preferences

The Preferences section allows the User to edit their personal EFS settings. To access **Preferences** click the Preferences hyperlink, located in the upper right corner. The Preferences screen will display.

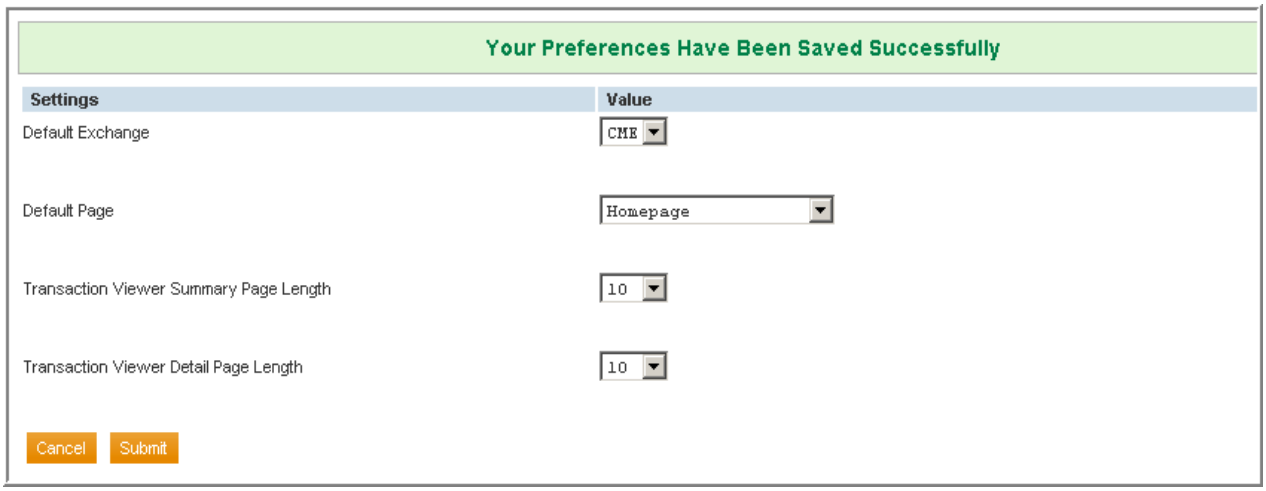




To update any of the settings, highlight the selection in the appropriate drop-down list by clicking on the item. Once the selections have been completed, select the **Submit** button.

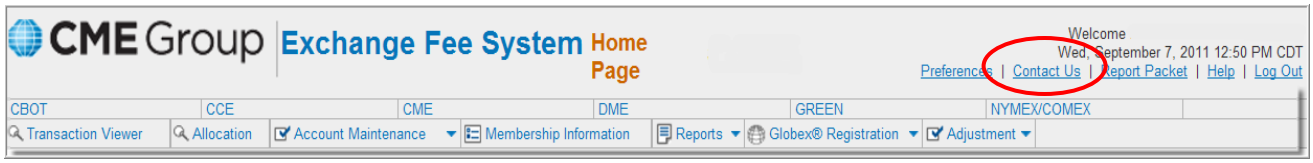
To cancel out of the screen at any time, select the **Cancel** button.

The User will receive a confirmation message that the selected preferences have been saved.



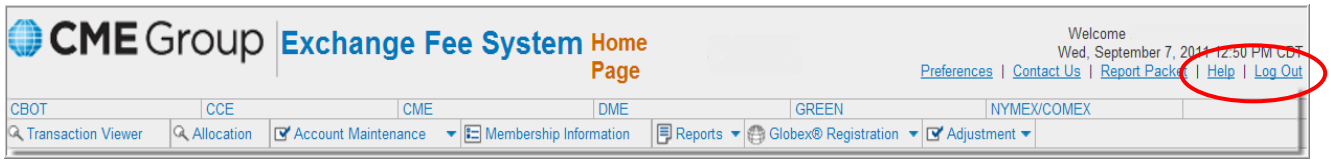
11. Contact Us

To obtain contact information for the Exchange Fee System support team, click the **Contact Us** hyperlink.



12. Help and Log Out

The **Help** hyperlink will display the EFS User Manual.



To **Exit** the Exchange Fee System, click the **Log Out** hyperlink.

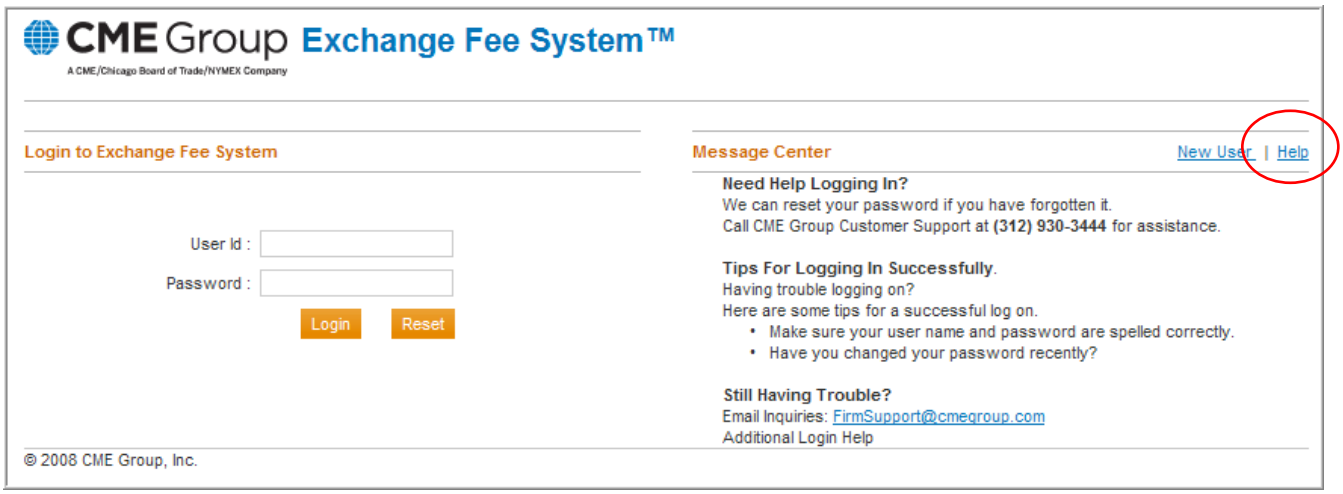
13. Appendix

13.1 Login Troubleshooting

If unable to log in, follow these instructions:

From the **Fee Systems Portal** login page:

- **Click** the **Reset button.** The login page will reset so that the password and User ID can be re-entered.
- If the problem does not resolve, **click** the **Help link.**
  The below screen will then appear:



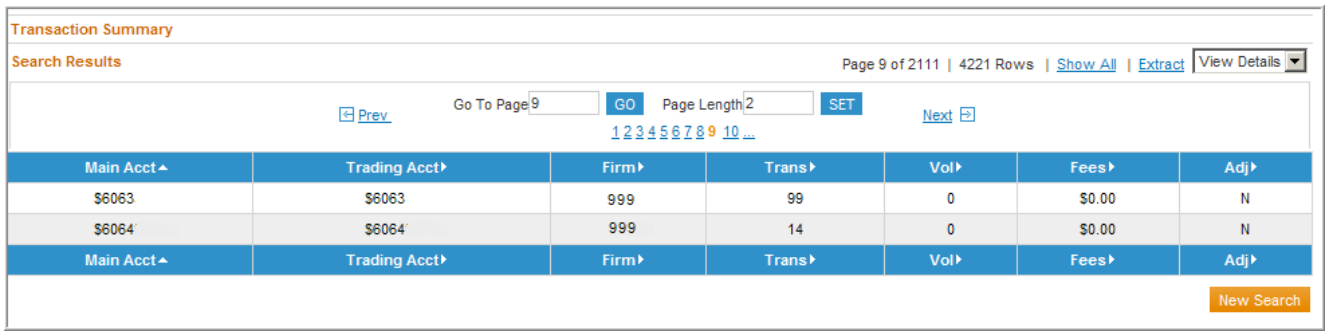
Login Help Page

Follow the instructions. If the login continues to fail, contact CME Group Customer Support at 312-930-3444 or e-mail FirmSupport@cmegroup.com .

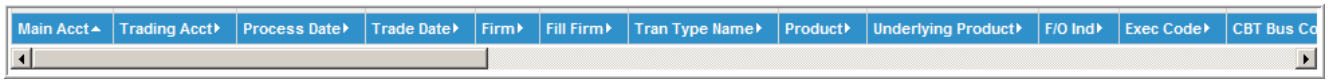
13.2 Navigating the Data Results

There are multiple ways to navigate through the data results within the EFS screens. If there is only one page of data, some of these options will not be available.

- **Show All** – selecting this hyperlink (located in the upper right-hand corner above the Transaction Summary screen) will change the display to show all transactions on one page. Use the scroll bar on the right of the browser window to scroll through the data.
- **Reset** – this hyperlink will appear after the **Show All** hyperlink has been selected. Use this to change the display back to show one page of data at a time.
- **Extract** – selecting this hyperlink will extract the data into a text format. Then, open the file in other applications such as Microsoft Excel or Access.
- **Prev and Next** – selecting the previous or next hyperlinks will bring the User to the previous or next page of data.
- **Go to Page** – allows the User to enter a specific page number to view. To use this feature, type in a page number and click the "Go" button.
- **Page Length** – allows the User to select the number of rows of data to see per page. To use this feature, type in a number and click the "Set" button.
- **1 2 3 4 …** - selecting one of these hyperlinks will bring the User to that specific page. To view the next page, click the link displayed as three dots.
- **Sorting Columns** – To sort the column data in ascending or descending order. Select the arrow next to the header of the column to sort. Data can only be sorted by one column at a time.

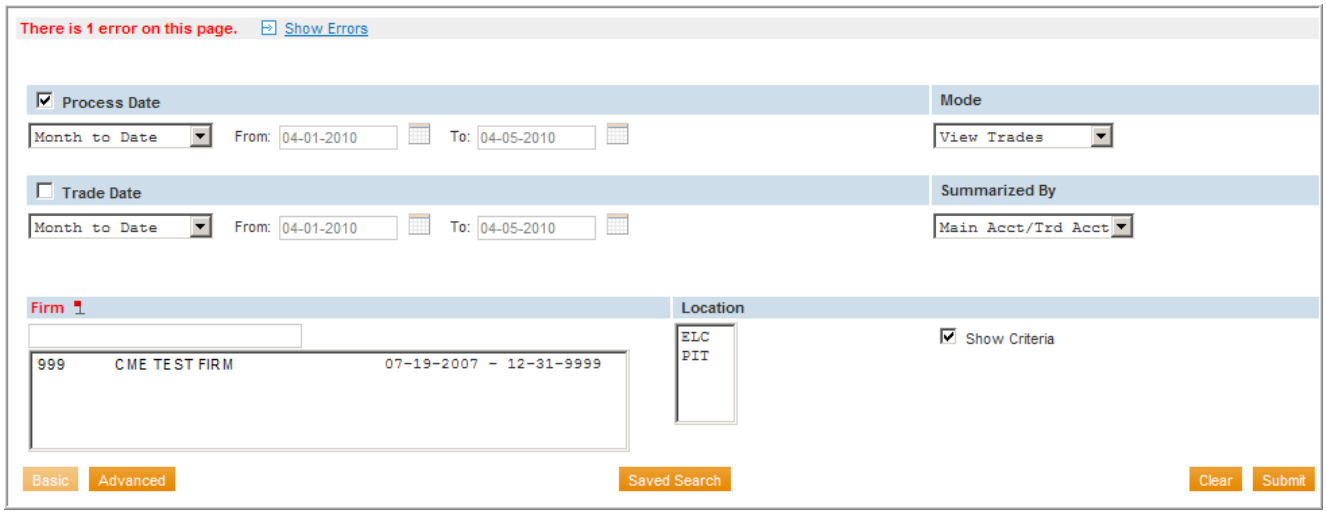


To view all the columns in the search results, use the left/right scroll bar at the bottom of the search results.

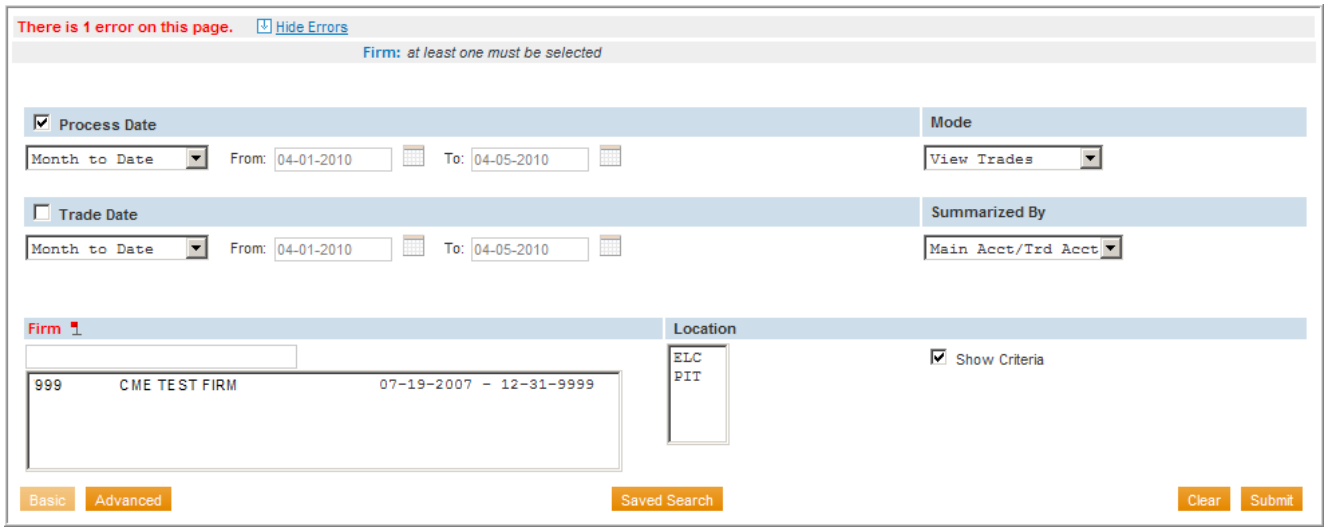


13.3 Errors in Selecting Search Criteria

- When executing a search, if there were any errors made in selecting search criteria, a message will appear in red at the top of the page stating the number of errors identified.
- A red flag will also display next to the field(s) containing the error(s).
- To see detailed information about the error(s), click the **Show Errors** hyperlink at the top of the Transaction Viewer.



- The details of the error(s) will then be displayed at the top of the page, and changes can be made to the search screen to correct the error(s).
- To hide the error details, click the **Hide Errors** hyperlink.



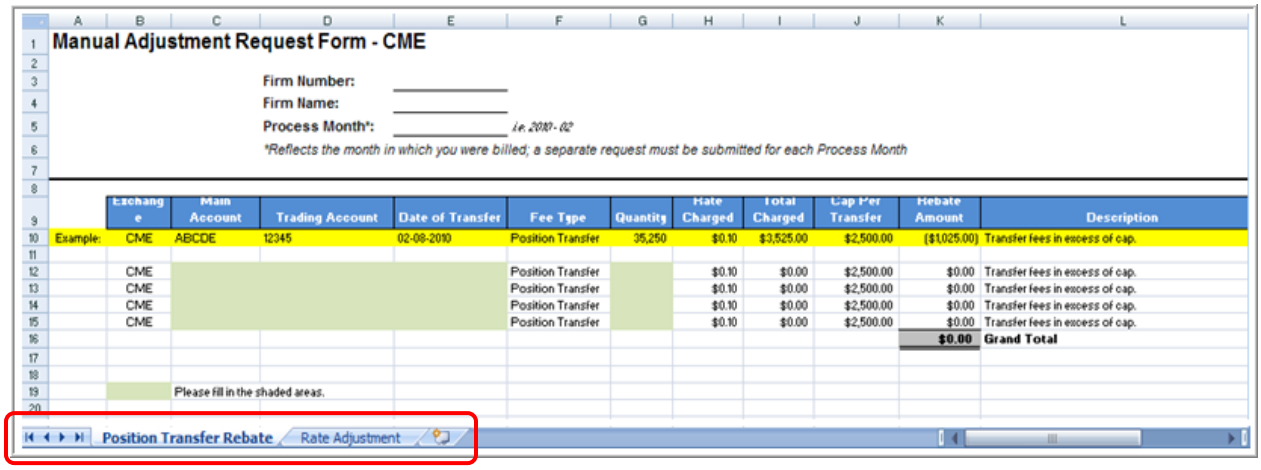
13.4 Manual Fee Adjustment Instructions

The Manual Fee Adjustment template is used for submitting adjustment requests for scenarios that cannot be updated automatically within the Exchange Fee System (EFS).

13.4.1 Downloading the Fee Adjustment Template

The Manual Fee Adjustment Template for each Exchange is located on the Exchange's homepage. Click on the hyperlink '*Adjustment Template'* to download the template. The Fee Adjustment template has two types of worksheets: ***Position Transfer Rebate*** and ***Rate Adjustment***.

- The Position Transfer Rebate template should be used to request an adjustment associated with position transfer fees charged in excess of any applicable caps, which are not automated within EFS. Note: This worksheet is not applicable for NYMEX/COMEX or DME.
- The Rate Adjustment template should be used to request an adjustment associated with incorrect rates applied that cannot be updated within EFS. Note: any adjustment that CAN be processed through EFS MUST be processed through EFS. This template is for the exception cases only.



Manual Adjustment Request Form - CME

Firm Number: _____

Firm Name: _____

Process Month*: _____ *i.e. 2010-02*

**Reflects the month in which you were billed; a separate request must be submitted for each Process Month*

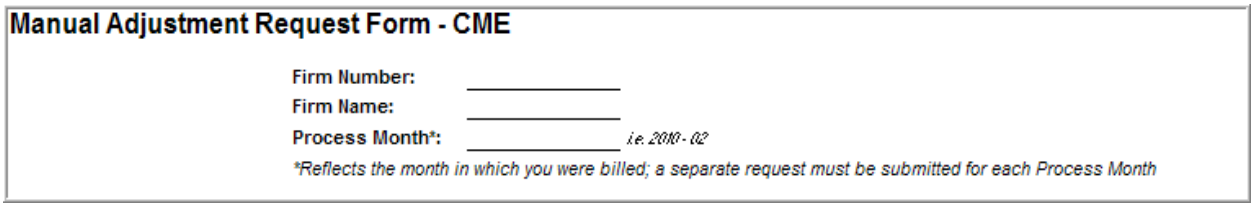
	Exchange	Main Account	Trading Account	Date of Transfer	Fee Type	Quantity	Rate Charged	Total Charged	Cap Per Transfer	Rebate Amount	Description
Example:	CME	ABCDE	12345	02-08-2010	Position Transfer	35,250	$0.10	$3,525.00	$2,500.00	($1,025.00)	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
										$0.00	**Grand Total**

Please fill in the shaded areas.

Position Transfer Rebate | Rate Adjustment

13.4.2 Entering data into the Position Transfer Rebate worksheet

1. Select the Position Transfer Rebate **worksheet**.
2. Enter the **Firm Number**, **Firm Name** and **Process Month** (YYYY - MM).



Manual Adjustment Request Form - CME

Firm Number: _____

Firm Name: _____

Process Month*: _____ *i.e. 2010 - 02*

**Reflects the month in which you were billed; a separate request must be submitted for each Process Month*

3. Continue to enter the appropriate information in the shaded areas (refer to example highlighted in yellow).

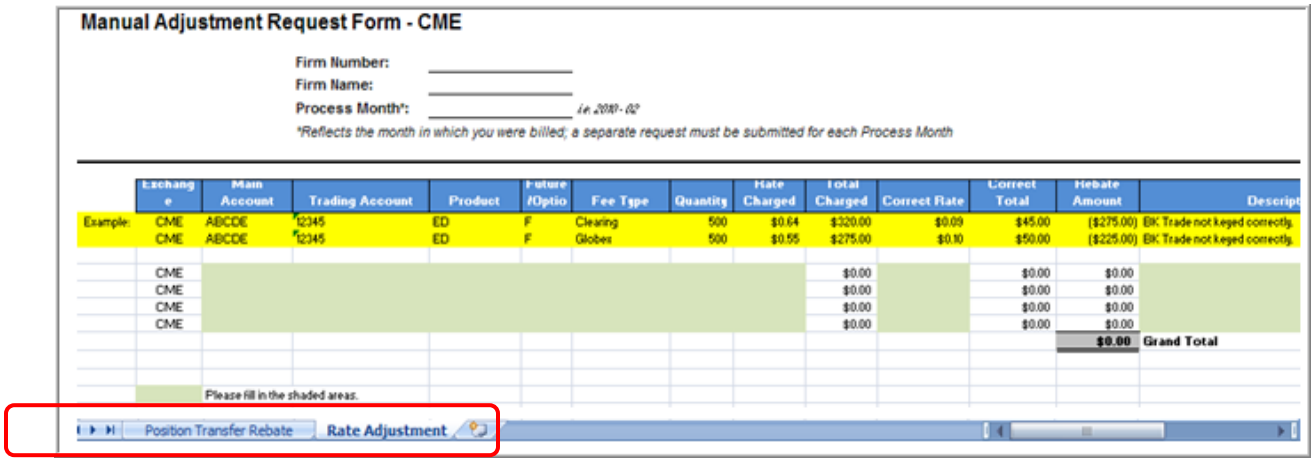
Field	Cell	Description
Main Account	C 12	A 'grouping account' created by firms to associate trading accounts with identical account ownership; enter the Main Account where the positions reside.
Trading Account	D 12	The trading account received from CME Clearing; enter the trading account where the positions reside.
Date of Transfer	E 12	The date the position was transferred.
Quantity	G 12	Quantity of positions transferred.

For any additional line items repeat step 3.

4. After completing the Manual Adjustment Request worksheet; save the adjustment template.
Note: *The adjustment worksheet will need to be attached to the manual adjustment request submitted through the Adjustment screen.*

13.4.3 Entering data into the Rate Adjustment worksheet

1. Select the Rate Adjustment **worksheet**.



Manual Adjustment Request Form - CME

Firm Number: _____

Firm Name: _____

Process Month*: _____ *i.e. 2010 - 02*

**Reflects the month in which you were billed; a separate request must be submitted for each Process Month*

	Exchange	Main Account	Trading Account	Product	Future /Optio	Fee Type	Quantity	Rate Charged	Total Charged	Correct Rate	Correct Total	Rebate Amount	Descript
Example:	CME	ABCDE	12345	ED	F	Clearing	500	$0.64	$320.00	$0.09	$45.00	($275.00)	BK Trade not keyed correctly.
	CME	ABCDE	12345	ED	F	Globex	500	$0.55	$275.00	$0.10	$50.00	($225.00)	BK Trade not keyed correctly.
	CME								$0.00		$0.00	$0.00	
	CME								$0.00		$0.00	$0.00	
	CME								$0.00		$0.00	$0.00	
	CME								$0.00		$0.00	$0.00	
												$0.00	Grand Total

Please fill in the shaded areas.

Position Transfer Rebate | Rate Adjustment

2. Enter the **Firm Number**, **Firm Name** and **Process Month** (YYYY - MM).

Manual Adjustment Request Form - CME

Firm Number: _____

Firm Name: _____

Process Month*: _____ *i.e. 2010 - 02*

**Reflects the month in which you were billed; a separate request must be submitted for each Process Month*

3. Continue to enter the appropriate information in the shaded areas (refer to example highlighted in yellow).

Field	Cell	Description
Main Account	C 13	A 'grouping account' created by firms to associate trading accounts with identical account ownership; enter the Main Account associated with the adjustment request.
Trading Account	D 13	The trading account received from CME Clearing; enter the trading account associated with the adjustment request.
Product	E 13	Product Code
Futures/Options	F 13	**F** (Futures) or **O** (Options)
Fee Type	G 13	See Appendix I for a list of Fee Types.
Quantity	H 13	Quantity to be adjusted.
Rate Charged	I 13	Rate charged that was deemed incorrect.
Correct Rate	K 13	Note: Please refer to the applicable Exchange's Fee Schedule to identify the correct rate.
Description	N 13	Description of the reason for the adjustment request.

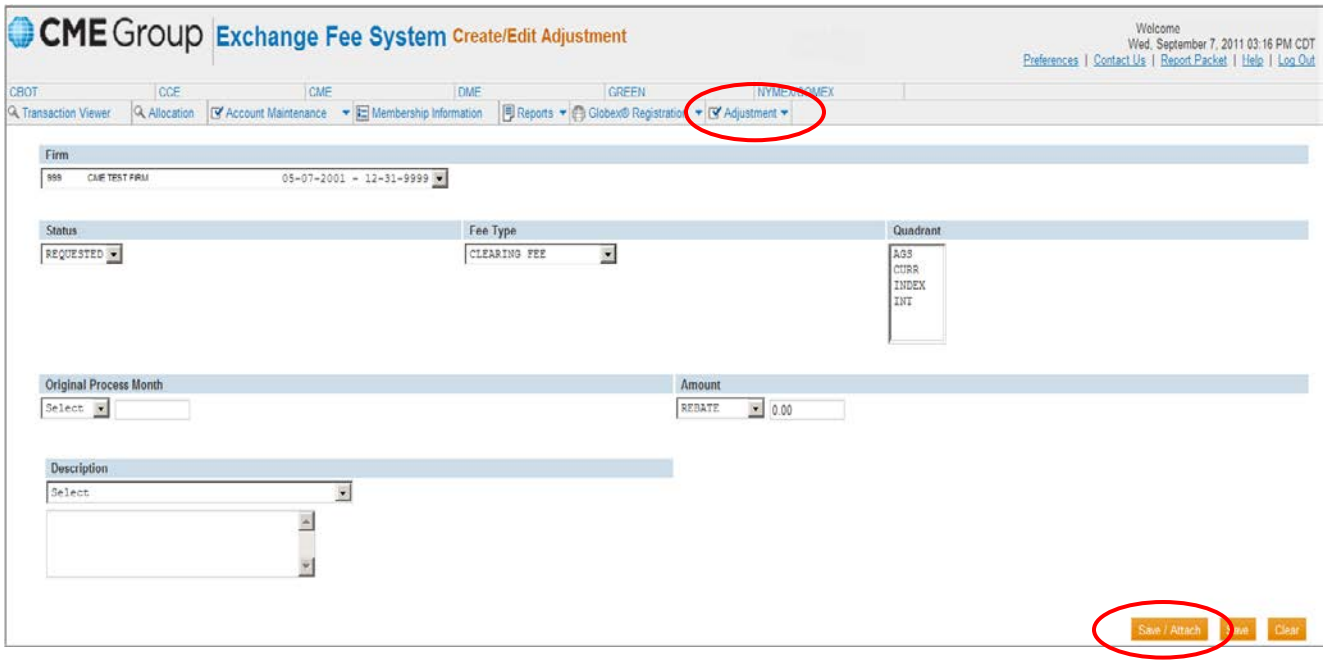
For any additional line items repeat step 3.

4. After completing the Manual Adjustment Request worksheet; save the adjustment template.
   Note: *The adjustment worksheet will need to be attached to the manual adjustment request submitted through the Adjustment screen.*

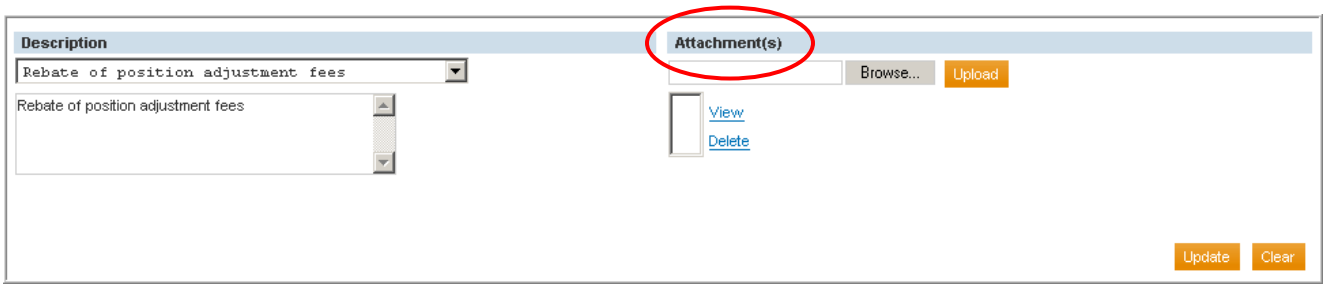
13.4.4 Attaching the Manual Adjustment Worksheet Template

To submit the manual adjustment request and attach the completed template, go to the **Adjustment** screen within the appropriate Exchange. Complete the Adjustment request:

9. Select the **Bill Firm**.
10. **Status** will default to **Requested**.
11. Select the **Fee Type**.
12. Select the product **Quadrant** (Note: This displays as **Product Venue** for NYMEX/COMEX; this field does not apply for DME).
13. Select the **Original Process Month** (MM - YYYY).
14. Enter an **Amount** after selecting whether the adjustment represents a **Rebate** or **Assessment**.
15. Select a reason for the adjustment from the pre-populated drop-down list or type the reason in the **Description** text box.
16. To add an attachment click **Save/Attach**.

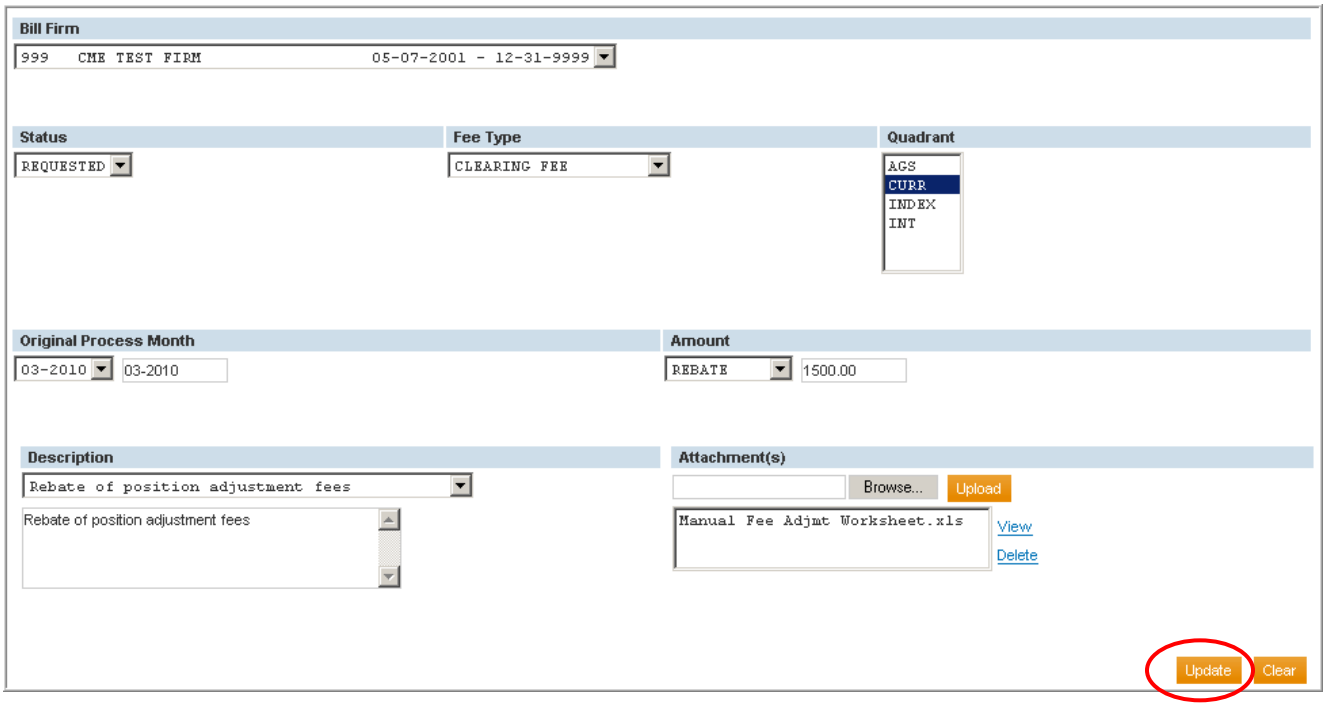


After selecting the **Save/Attach** button, an Attachment(s) section will display.



6. Click **Browse**. The Choose file window will display.
7. Locate and click the saved file.
8. Click **Open**.
9. Click **Upload**. The filename will appear in the attachment list. Repeat these steps for any additional attachment(s).

After completing the Manual Fee Adjustment screen, click **Update** to save the adjustment request with the attachment(s). A confirmation message will display that the Adjustment has been updated.



If you have any questions, telephone: CME Group EFS Hotline at 312-648-5470 or e-mail: efsadmin@cmegroup.com.

13.5 Fee Types

Field Name	Definition	
Fee Type	**Clearing Fees**	Clearing Fee, Give-Up Surcharge, E/A Surcharge, Delivery Surcharge, Position Transfer, Position Adjustment, and Expired Option Fee
	Exchange Fees	Exchange Fee, Exchange Fee-NonTrd Exchange Fee – PIT, Exchange Fee – GBX, Exchange Fee – CPC, Day Credit, Cash Settlement, E/A/D Notice, Ex-Pit Movement, Lessee Surcharge
	Ex-Pit Surcharges	EFP Surcharge, Fung Surcharge, EFS Surcharge and Block Surcharge ***NOTE:*** *Surcharges are associated with Exchange Fees for billing purposes.*
	Brokerage Fees	Brokerage, 106F Brokerage and 106F Brokerage Individual *(Brokerage Fees are billed to Broker)*
	Globex Fees	Globex Fee
	Facilitation Fee	Facilitation Desk Fees

- - Top - -

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